

# Missouri State Library Grants Manual

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Compiled by  
Missouri State Library  
Library Development Division

Sponsored by the Missouri State Library  
Office of the Secretary of State  
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This Grant Manual is supported by funds from the Institute of Museum and Library Services under the provision of the Library Services and Technology Act as administered by the Missouri State Library, a division of the Office of the Secretary of State.



## Introduction to the Manual

The Library Development Division of the Missouri State Library (MOSL) seeks to assist library staff with successful administration of their grant project through the information in this Grants Manual. The manual is presented in four parts: 1) Definitions and General Policies, 2) Proposal Preparation and Submission, 3) Award Acceptance and Administration, and 4) Appendix. We hope you will review each section, as the parts are interdependent. For instance, Part 1 includes brief descriptions of terms or topics, some of which may appear in other parts of the manual with more detailed information and instructions.

Each part contains numerous references and links to laws, regulations, policies or guidelines available on the World Wide Web. Because website addresses frequently change, MOSL will make every attempt to keep these links current, but users should feel free to contact the office if a web link is found to be in error. Additionally, MOSL expects to add or revise topics and sections throughout the year, so users are encouraged to update their copy of the manual as new material is provided.

The Grants Manual has been designed to provide current guidelines, policies and procedures to staff from eligible libraries seeking LSTA Grant support, and for managing awards in compliance with federal and state laws, rules and regulations. Recent issues directly affecting grants management include: reengineering by federal agencies under a mandate to streamline government, increased access to information over the Internet, and the explosion of electronic services including electronic commerce. Both public and private grantmakers have responded to these issues with changes in policies and procedures for proposal submissions and award administration.

**We are interested in your comments and suggestions as users of the manual. Please send your questions, problems you have encountered, topics you would like included in the future, or other comments to [shay.young@sos.mo.gov](mailto:shay.young@sos.mo.gov).**

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**Missouri Five-Year State Plan  
For the Use of  
Library Services and Technology Act (LSTA) Funds  
Fiscal Years 2008 - 2017**

Definitions:

- A. A public library is a library established and maintained under the provisions of the library laws or other laws of the state related to libraries, primarily supported by public funds and designed to serve the general public.
- B. A public elementary school or secondary school library is a library controlled and operated by publicly supported elementary or secondary schools, and designated to serve faculty and students of that school.
- C. An academic library is a library which is controlled and operated by a two (2) or four (4) year college or university, either publicly supported or private, and which is designated primarily to serve faculty and students of that college or university.
- D. A special library is a library established by an organization and designed to serve the special needs of its employees or clientele. A special library must have an appropriately trained librarian, an organized collection, a minimum of 20 hours of service per week, with some opportunity allowed for service to the public or a strong commitment to resource sharing. They include both private libraries and publicly funded libraries, such as those serving mental health facilities, correctional institutions, and government agencies.
- E. A library consortium is any local, statewide, regional, interstate, or international cooperative association of library entities which provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such library entities.

## **Statutory and Regulatory Overview of LSTA State Program from the Institute of Museum and Library Services**

Federal statutes provide the basis for the Library Services and Technology Act (LSTA) state-based library program while various regulations govern how to administer federal grant programs.

### **A. Federal statutory framework**

The United State Code (USC) is the government's official document of federal statutes. Title 20 (Education), Chapter 72 (Museum and Library Services) is the enabling language for IMLS. Subchapter II (Library Services and Technology) is the section of Chapter 72 that specifically addresses the LSTA State Program. The following sections are particularly important to you as an administrator of the LSTA program:

9121. Purpose

Lists the four purposes of the overall LSTA program, not just the Grants-to-States program. A State Library Administrative Agency's (SLAA) expenditures that match these purposes must be used in determining its Maintenance of Effort (MOE);

9132. Administration

Restricts the amount an SLAA may use for administrative costs to 4% of its annual allotment;

9133. Payments; Federal share; and MOE requirements

Includes information on what must be included in MOE and how it is calculated in determining an SLAA's eligibility to receive its full allotment;

9134. State plans

Requires a five-year plan (including required elements) and a five-year evaluation. It also stipulates Internet safety (CIPA) requirements as it pertains to LSTA funds;

9141. Grants-to-States

lists the six priorities for which the SLAA may expend LSTA funds and for which SLAA, local, and private funds may be expended in calculating the Match requirement.

## **B. Federal regulatory framework**

Federal regulations provide the guidelines that federal agencies and their sub-grantees must adhere to in administering federal programs. There are two sources of regulations for the LSTA program: the Code of Federal Regulations (CFR) and Office of Management and Budget (OMB) Omni-Circular. (The Omni-Circular has been systematically integrated into the CFR.)

### **1. *General Regulation for Administering the Grants***

*2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards.*

*2 CFR 3187* covers all specific regulations pertaining to grants administered by the Institute of Museum and Library Services, including the Grants to States Program.

### **2. *Regulations Governing Allowable Costs***

*2 CFR 200 Uniform Administrative Requirements, Costs Principle, and Audit Requirements for Federal Awards*

Part 200 of the Code of Federal Regulation consolidates and supersedes Cost Principles (2 CFR 220 - Educational Institutions; 2 CFR 225 - State, Local and Indian Tribal Governments; and 2 CFR 230 - Non-Profit Organizations). While not all allowable and unallowable cost issues are clear cut, these regulations will usually provide good guidance. When in doubt about whether an item is allowable, contact the Missouri State Library's LSTA Grants Officer.

### **3. *Regulation Governing Auditing of LSTA Grants***

*2 CFR Part 200 Subpart F- Audit Requirements* provides guidance on all aspects of the auditing process.

### **4. *Regulations Governing Nondiscrimination***

There are also two CFRs that cover various nondiscrimination issues:

- a) *2 CFR 3187.12 Federal statutes and regulations on nondiscrimination*
- b) *45 CFR 1110 Nondiscrimination in Federally Assisted Programs*

### **5. *Other Applicable Regulations***

- a) *2 CFR 3185 and 2 CFR 180 Nonprocurement Debarment and Suspension*
- b) *2 CFR 3186 and 2 CFR 182 Requirements for Drug-Free Workplace*

**C. State and local statutes and regulations**

With respect to state and local statutes and regulations, the important issue to consider is whether they diverge from those of the federal government. Federal regulations must always be followed. However, if state or local statutes or regulations are more restrictive than the federal statutes and regulations on certain issues, e.g. on allowable cost issues, then they supersede the federal statutes and regulations on those specific issues.

**Office of State Programs General Guidance  
for Federal LSTA Grant Allowable Costs:  
Advertising, Public Relations, Promotional Materials  
and Administrative or Indirect Cost Rates**

This IMLS Office of State Programs Guidance provides information on allowable and unallowable costs related to advertising, public relations, and promotional materials for Library Service and Technology Act (LSTA) grant awards and sub-awards. The information provided herein is meant to address common questions about advertising, public relations, and promotional materials received by the Office of State Programs from State Library Administrative Agencies (SLAAs).

SLAAs must be familiar with the six priorities of the LSTA program since no LSTA funds may be expended for any program that does not meet at least one of these priorities. The six priorities are:

- (1) expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;
- (2) developing library services that provide all users access to information through local, State, regional, national, and international electronic networks;
- (3) providing electronic and other linkages among and between all types of libraries;
- (4) developing public and private partnerships with other agencies and community-based organizations;
- (5) targeting library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and
- (6) targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line (as defined by the Office of Management and Budget and revised annually in accordance with section 9902(2) of title 42) applicable to a family of the size involved.

*(20 USC Chapter 72, Sec. 9141).*

SLAAs also must review *2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements* for more complete information on allowable and unallowable costs. Be advised that *2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements* take precedence over IMLS Office of State Programs Guidance. Additionally, please consult with your State Program Officer with any questions or for further guidance on allowable costs for LSTA grant awards.

## I. Allowable Costs Overview

As Federal grant recipients, SLAAs are required to comply with the terms and conditions of their grant awards, as well as with applicable federal laws, regulations, Office of Management and Budget (OMB) circulars, and applicable state and local laws and regulations. SLAAs are encouraged to review and become familiar with the OMB Omni-Circular which is available electronically on the OMB website at [2 CFR 200](#).

All costs charged to grants awarded by IMLS under LSTA must be “allowable costs.” Allowable costs are defined and discussed in full in *2 CFR Part 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements*.

Generally, for a cost to be allowable for an LSTA grant award, the cost must be **directly related to and necessary to carry out one or more of the approved LSTA priorities (20 USC Chapter 72, Sec. 9141)**. In addition, it must be **(1) reasonable, (2) allocable, and (3) not specifically disallowed by the State or local laws or regulations (2 CFR sections 200.402 through 200.404)**. Examples of allowable costs for LSTA awards include, but are not limited to: salaries and wages, fringe benefits, consultant fees, travel costs, equipment, supplies and materials, and indirect costs.

In general, no IMLS State Program funds may be used for **lobbying** activities. The term “lobbying” is generally considered to cover any attempt to influence government decision-making. Note that lobbying also includes activities or the publication or distribution of literature that in any way tends to promote public support or opposition to a pending legislative proposal.

## II. Advertising, Public Relations, and Promotional Materials Costs

### A. Advertising Costs

*2 CFR 200.421* defines advertising costs as “the costs of advertising media and corollary administrative costs. Advertising media include magazines, newspapers, radio and television, direct mail, exhibits, electronic or computer transmittals, and the like.”

Generally applying the circulars to LSTA projects, the only allowable advertising costs are:

- recruitment of personnel for the LSTA grant projects;
- procuring or acquiring goods, equipment, and services for the performance of LSTA grant projects;
- disposal of surplus materials acquired in the performance of LSTA grant projects (except where SLAAs are reimbursed for disposal costs at a predetermined amount); and
- other specific purposes necessary to fulfill the requirements of the LSTA grant.

With respect to LSTA, an SLAA can advertise for staff to assist in the implementation of a state-wide database, for equipment and software necessary to implement the databases, and for training of library staff in the use of the database.

## B. Public Relations Costs

2 *CFR* 200.421 establish that the definition of public relations “includes community relations and means those activities dedicated to maintaining the image of the [institution, governmental unit, non-profit] or maintaining or promoting understanding and favorable relations with the community or public at large or any segment of the public.”

These circulars establish, with respect to LSTA grant projects, that allowable public relations costs include:

- costs specifically required by the grant award for a specific LSTA grant project.

Typically, allowable public relations costs are specific expenses involved in a project to inform the public or the press about specific LSTA grant projects. Public relations costs, such as brochures and bookmarks, charged to an LSTA project to carry out that specific project would be allowable. However, a general message such as “libraries are good places and deserve to exist” would be considered unallowable. As a further example, it would not be an allowable cost on an LSTA project for an SLAA to hire a photographer to take photographs of library patrons for a press release highlighting the importance of libraries. However, using a photographer to take photographs to let users know about the availability of an LSTA-funded service in furtherance of a specific LSTA-funded projects would likely be allowable.

## C. Unallowable Advertising and Public Relations Costs

2 *CFR* 200.421 also provide direct examples of unallowable advertising and public relations materials. With respect to these circulars, SLAAs **may not** use LSTA grant funds to cover:

- any advertising or public relations costs other than specified as allowable by the circulars;
- costs of meetings, conventions, convocations, or other events related to other non-LSTA grant activities of the organization (including the costs of displays, demonstrations, exhibits, meeting rooms, hospitality suites, other special facilities used in connection with special events, and salaries and wages of employees engaged in setting up exhibits and providing briefings);
- costs of promotional items and memorabilia including models, gifts, and souvenirs; and
- costs of advertising and public relations designed solely to promote the SLAA or a library in general.

SLAAs should both be very cautious in approving any item which may fall into the prohibited cost categories set out above and consult with the appropriate Program Officer for guidance.

## **D. Promotional Materials**

As set forth above, *2 CFR 200.421* does not allow costs of promotional items and memorabilia including models, gifts, and souvenirs to be applied as allowable costs to LSTA grant awards. However, based on questions received by the Office of State Programs, the purchase of items that may have a promotional nature frequently arise for both SLAAs and their sub-grant recipients.

Following is a listing of promotional items that SLAAs have asked the Office of State Programs about and that should be carefully reviewed by SLAAs on a case-by-case basis before their cost is approved out of LSTA award funds: bookmarks, postcards, T-shirts, mugs, books, bags, CDs, calculators, banks, jump ropes, ties, scarves, bibs, safety plugs, hats, rubber stamps, sidewalk chalk, jigsaw puzzles, patches, flying disks, paint sheets, plastic bags, trading cards, stretch band watches, gel bracelets, posters, door hangers, magnetic bookmarks, pennants, megaphones, figurines, banners, book packs, mini-pad holders, and message magnets. Please note that the foregoing list is illustrative; its inclusion in this Guideline does not imply that these items are per se allowable. Each item should be carefully scrutinized in the context of its specific corresponding project.

As stated above, the OMB Omni-Circular prohibits these items from being used as gifts, models, or souvenirs. The purchase of these items with LSTA funds is rarely an allowable cost unless SLAAs and sub-grant recipients have a clearly demonstrable and legitimate purpose for the purchase and distribution of these items that is directly related to the LSTA grant project. A general guiding question often used is whether a prudent person would determine that the items are directly related to the LSTA grant project, and a factor may be whether the items are more educational and informational in nature than promotional. Since often these items are more promotional in nature, and therefore are an unallowable cost, many libraries partner with businesses and other organizations to cover the costs of promotional materials.

Each SLAA should ensure that their sub-grant recipients understand the OMB Circular restrictions regarding promotional items such as those listed above. The Office of State Programs encourages SLAAs to provide written instructions to their sub-grant recipients on the use of LSTA grant awards for promotional items as this is a common area of confusion for LSTA sub-grant recipients.

## **III. LSTA Public Relations/Advertising Activities, Workshops, & Projects**

### **A. LSTA-Funded Public Relations/Advertising Activities**

Subject to the restraints of *2 CFR 200.421*, public relations/advertising in support of a specific LSTA-funded project are allowable. This means that there can be a public relations/advertising component to a project that provides a service or program that meets any of the six LSTA priorities. For instance, the SLAA could develop brochures or announcements that inform potential participants or users about the availability of an LSTA-funded summer reading program or state on-line database.

## **B. Workshops/CE Activities on Public Relations/Advertising**

Again, subject to the restraints of the three afore-cited OMB Circular, LSTA funds may be used to conduct workshops that teach librarians how to engage the public in specific library services and programs. The workshops would be instructional, rather than promotional. There should not be a component of the workshop that would fund the actual production of public relations materials, etc., unless the materials were designed to carry out a specific LSTA-funded project.

## **C. Public Relations/Advertising Projects**

Public relations/advertising projects per se are not allowable uses of LSTA funds EXCEPT in furtherance of addressing priorities 5 and 6 of the LSTA legislation. (See page 1) This means that a project whose purpose is to promote or market libraries or their services may not be funded with LSTA dollars unless they are used to address those groups identified in priorities 5 and 6.

## **IV. Conclusion**

The intent of the IMLS LSTA program is to support specific projects (that meet the six statutory priorities) and their related costs. The OMB Circulars provide further guidance on allowable and unallowable costs. SLAAs need to familiarize themselves with the limits on allowable costs for LSTA grant funds for advertising and public relations costs and must be aware of the explicit restrictions set out in the OMB Circulars. SLAAs should also make sub-grant recipients aware of the limitations on allowable costs for LSTA grant funds for advertising and public relations costs and provide written guidance where appropriate on this issue. **Please contact your State Program Officer for further guidance on advertising, public relations, and promotional materials costs as well as with general questions on allowable costs.**

## **Administrative or Indirect Rates**

### **A. Administrative or Indirect Rates Charged by Contractors**

Administrative rates are defined as those costs associated with the management and oversight of an organization's activities. The rates established by this policy are considered reasonable rates; thus, rates charged in compliance with these rates do not require supporting documentation.

Administrative rates charged by contractors may not exceed eight (8) percent of total contract costs billed except as set forth below.

1. Administrative rates charged by a university system may not exceed ten (10) percent of total contract costs billed.
2. Administrative rates that are charged under a contract with a university system where the parties jointly drafted the grant application shall be the administrative rate submitted in the grant application.

### **B. Administrative or Indirect Rates Charged by Sub-grantees**

Indirect costs are those costs incurred for a common or joint purpose benefiting more than one cost objective, and not readily assignable to a single project. Costs may be facilities or administrative in nature. Per 2 CFR 200.414 and guidance from the Institute of Museum and Library Services (IMLS), beginning with grants and contracts awarded from LSTA FY2015 funds, contractors and sub-grantees may charge administrative or indirect rates to LSTA grants and contracts issued by the Missouri State Library.

1. The Federal Agency Acceptance of Negotiated Indirect Cost Rates will be accepted when supported by official documentation of the accepted negotiated rate
2. Any non-Federal entity that has never received a negotiated indirect cost rate may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC).

MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts **up to the first \$25,000**. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000.

3. A contractor or sub-grantee may decline to receive payments for administrative or indirect costs.



# **LSTA PROGRAM FIVE-YEAR PLAN FOR YEARS 2013-2017**

# **LSTA Five-Year Plan 2013-2017**

For Submission to the  
Institute of Museum and Library Services

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## **Introduction**

The Missouri State Library is pleased to present this plan to use Library Services and Technology Act (LSTA) funds to help Missouri libraries move forward to meet the varied needs of our state's residents. Missouri is facing the same rapidly changing landscape of technology and user expectations as many other states. The goals and programs described in this plan address the needs expressed through town hall meetings, the five-year evaluation, and surveys of library stakeholders. Three principal goals are designated for this five year plan. These comprehensive goals will allow for a broad approach to continuing the development of strong library services in Missouri.

## **Mission Statement**

The Missouri State Library promotes the development and improvement of library services throughout the state, provides direct library and information service in support of the executive and legislative branches of Missouri state government and strives to ensure all Missourians have equal access to library services.

## Missouri Landscape

Missouri is the 18th most populated state in the United States with 5,988,927 residents. The population in Missouri has increased by 393,716 residents or 7% in the decade between the 2000 and 2010 censuses. The national population grew 9.7% during this same time. Much of the growth in the state over the decade was in suburban counties, with rural and urban areas losing population at a slower rate (see Map 1).

**Map 1 – Population Change 2000 to 2010**

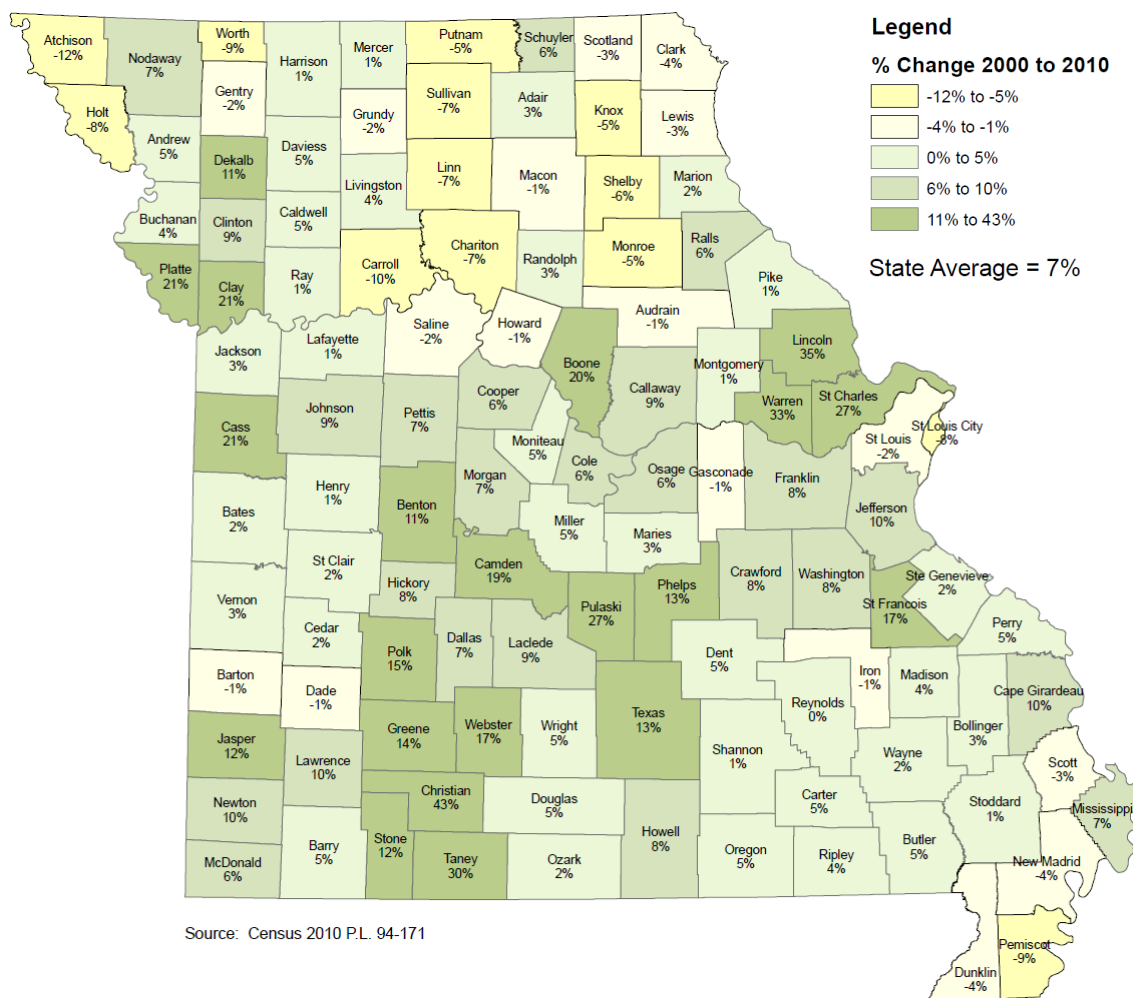


Table 1 describes the characteristics of Missouri's population compared to that of the U.S.

**Table 1 – Characteristics of the Population – Missouri's Urban/Rural and United States**

Characteristics	Missouri			U.S.
Population	Total	Urban Areas	Rural	
Total	5,988,927	4,218,371	1,770,556	-
Percent of Population	-	70.4%	29.6%	-
Race & Ethnicity	Total	Urban Areas	Rural	U.S.
White	82.8%	76.8%	95.4%	72.4%
African-American	11.6%	16.8%	1.8%	12.6%
Asian	1.6%	2.1%	0.4%	4.8%
Other	4.0%	4.3%	2.4%	10.2%
Hispanic (any race)	3.5%	4.5%	1.8%	16.3%
Age	Total	Urban Areas	Rural	U.S.
Median Age (years)	37.9	36.3	40.8	37.2
Under 5	6.5%	6.6%	6.1%	6.5%
Under 18	23.8%	23.2%	24.5%	24.0%
65 and Over	14.0%	13.4%	15.3%	13.0%
Educational Attainment & Enrollment	Total	Urban Areas	Rural	U.S.
High School Graduate or Equivalency	31.9%	28.5%	38.2%	28.5%
Bachelor's Degree or Higher	25.6%	29.3%	18.5%	28.2%
Adults Enrolled in College/Graduate School	28.2%	32.7%	18.3%	28.3%
Language Spoken at Home	Total	Urban Areas	Rural	U.S.
Other than English	6.1%	7.6%	3.1%	20.6%
Speaks English less than "very well"	2.3%	3.0%	1.0%	8.7%
Speaks Spanish	2.6%	3.2%	1.3%	12.8%
Social & Economic	Total	Urban Areas	Rural	U.S.
Persons with a Disability	13.8%	13.1%	15.2%	11.9%
Median Household Income	\$44,301	\$43,644	\$45,533	\$50,046
Persons Below Poverty Level	15.3%	16.4%	13.2%	15.3%
Under 18 in Poverty	20.9%	22.2%	18.5%	21.6%
Unemployment Rate	10.0%	10.5%	8.9%	10.8%

Source: U.S. Census Bureau, 2010 Census and American Community Survey 2010 Estimates.

Missouri has a population that is 19% minority (meaning those not categorized as White alone, non-Hispanic), compared to 36% nationally. There has been a 25% increase in the minority population since the last census, with the Asian and Hispanic populations in the state showing increases of nearly 60 and 80 percent respectively since 2000. Possibly related is the 20% increase in the number of people reporting that they speak a language other than English at home or the 15% increase in the number reporting they speak English less than "very well."

The difference in the racial makeup of the urban and rural areas of the state is also slightly sharper than the national rate. Missouri's rural population is 95% White compared to 86% nationally in rural areas.

The state's age distribution is similar to that of the U.S. for children and adults. However, Missouri has a larger percentage of seniors (residents 65 years and older) than that of the national rate, with an even higher number of seniors in the rural parts of the state. The number of Missourians reporting educational attainment

beyond a high school diploma or equivalency has increased since 2000 – more than 25% of residents have attained a Bachelor's degree or higher. Additionally, there has been a 23% increase in the number of adults who report being enrolled in college or in graduate or professional school since 2000. Statewide, 56% of college students are 18-24 years old, but 20.2% are 35 years or older – slightly higher than the national average of 19.3%.

Census Bureau data shows that Missouri has a higher number of its non-institutionalized population with a disability – 14% compared to 12% nationally. In terms of poverty and unemployment, Missouri's rates were nearly the same as those for the U.S. – but with less unemployment in the rural areas. The state's median household income is considerably less, but so is the cost of living. In the fourth quarter of 2011, Missouri had the 14th lowest cost of living in the United States (Missouri Economic Research and Information Center, Cost of Living Data Series, 4th Quarter 2011).

## Library Landscape

### Public Libraries

In Missouri there are 148 public library districts serving 91.2% of the state's population by operating 360 stationary outlets and 26 bookmobiles. Table 2 and Charts 1 and 2 show the population served by library districts in the state.

Seventy-five percent of the population in Missouri lives in fewer than a third of the 115 counties (4.5 million in 36 urban/suburban counties). More urban and suburban residents are served by a library district than those who live in the rural areas of the state (96% versus 77%) – seven (33%) of the largest rural counties do not have county-wide library service. However, because more than half (51%) of the library outlets in the state are in the rural counties, those in the heavily populated areas have nearly four times as many patrons per outlet.

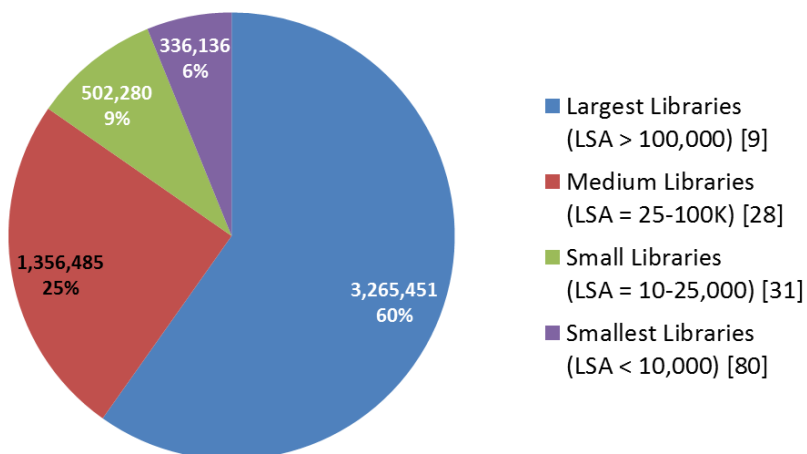
**Table 2 – Urban/Suburban and Rural Population Served by Public Libraries**

Metro Area	Statewide Population (2010 Census)	Library Districts			Stationary Outlets	
		Number	Population Served	Percent of Area Served	Number	Pop Served per Outlet
Total Population	5,988,927	148	5,460,352	91.2%	360	15,168
Urban/Suburban <sup>2</sup>	4,463,547	53	4,283,569	96.0%	176	24,338
Rural	1,525,380	95	1,176,783	77.1%	184	6,396

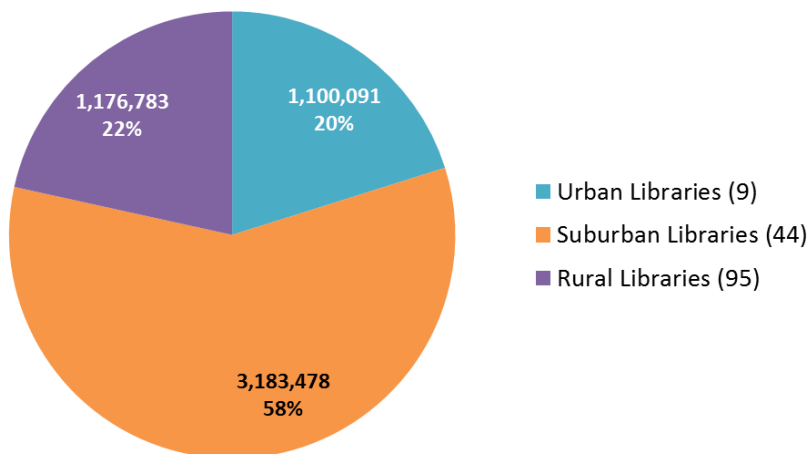
<sup>2</sup> Counties as a whole within OMB defined Metropolitan Statistical Areas, December 2009

Charts 1 and 2 give another view of the uneven distribution of population by library districts:

- 85% of the served population lives in just 37 library districts
- 95 library districts (64%) share service for the 22% of rural, served population

**Chart 1 - Population Served by Library District Size**

Source: Missouri Public Library Survey, FY11

**Chart 2 - Population Served by Metropolitan Area**

Source: Missouri Public Library Survey, FY11

**School and Academic Libraries**

Missouri's Department of Elementary and Secondary Education (DESE) 2011 data show that there are 2,186 public schools in the state (with an additional 165 Charter schools). The National Center for Education Statistics (NCES) 2008 Schools and Staffing Survey (SASS) showed that 93% of the public schools in the state have a library media center. Data from the NCES 2010 Academic Libraries Survey (ALS) show that there are 108 academic libraries in the state.

## Library Services

### Public Libraries

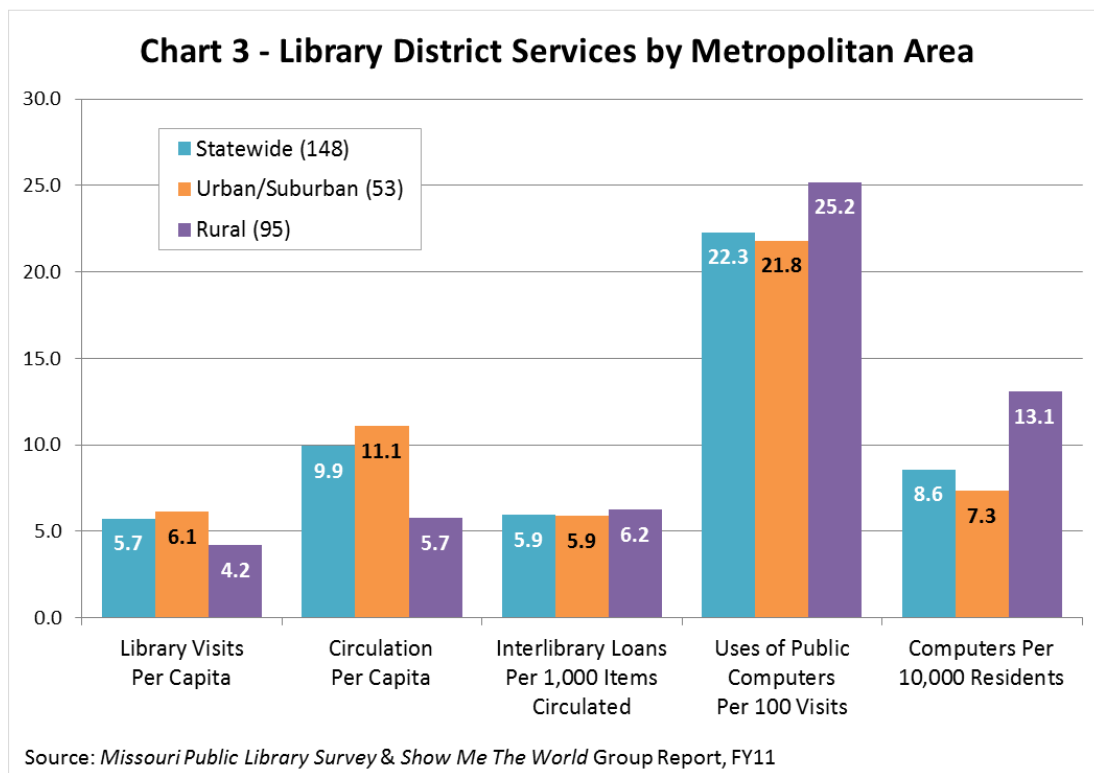
Table 3 and Charts 3 and 4 display services offered by Missouri public library districts in 2011 by metropolitan area and size of the library district.

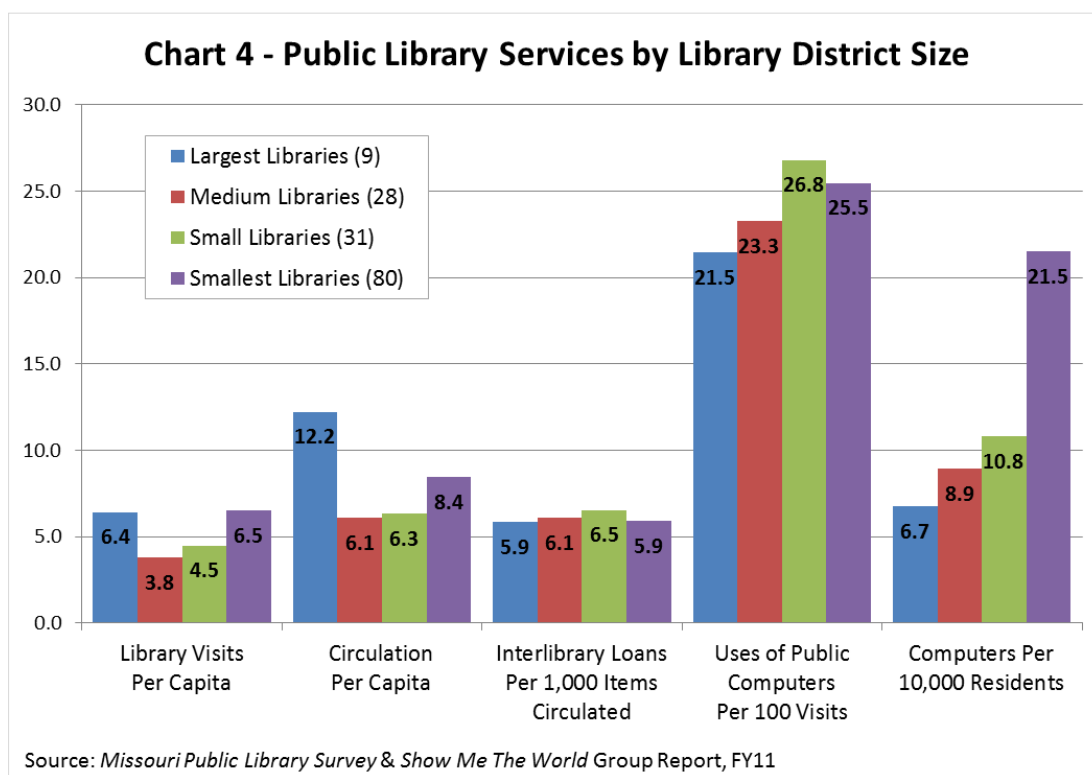
The data in Table 3 appear as expected when considering 78% of the state's public library district population lives in the urban/suburban areas of the state. Conversely, Charts 3 and 4 demonstrate how rural and small libraries hold their own by providing for their patrons with such services as interlibrary loan and public access computer availability.

**Table 3 – Public Library Services Performed on a Typical Day in 2011**

Services	Statewide (148)		Urban/Suburban Library Districts (53)		Rural Library Districts (95)	
	Annual Total	Average Per Day	Annual Total	Average Per Day	Annual Total	Average Per Day
Library Visits	28,524,659	630	24,373,127	1,928	4,151,532	142
Circulation of Materials	54,193,262	1,003	47,430,304	2,766	6,762,958	195
Items Shared by Interlibrary Loan	325,637	8	279,126	16	42,187	2
Uses of Public Computers	6,758,020	129	5,544,073	436	1,213,947	36
Number of Computers	4,680		3,141		1,539	

Sources: *Missouri Public Library Survey* and *Show Me the World Group Report*, FY2011





Seventy-three percent (108) of library districts offer patron computer training by formal class or in one-on-one sessions. Subjects include general Internet searching, computer use and word processing, accessing reference databases, job search, genealogy research and social networking. Of the 75 libraries that offer formal classes, they average 21 hours per month of training. Sixty (41%) library districts have a computer lab for public training classes in one or more outlets.

Library districts in the state averaged 42 library-sponsored programs per month annually (more than 10 per week). Sixty-one (41%) library districts averaged about four programs per month or one per week. Statewide, average program attendance was 24 patrons per program. One-third of libraries averaged more than 24 participants per program.

### School Libraries

NCES 2008 SASS data show that 99% of library media centers in Missouri had computer work stations with Internet access, with an average of 13 per center. Ninety-one percent of library media centers had access to online, licensed databases, with 87% providing access to the classroom and 47% providing database access for students at home. The SASS data also show that 49% of the library media centers in the state offered family literacy activities and 47% had book clubs. Circulation figures showed an average of 500 books circulated in a typical week.

Missouri has embarked on an ambitious education reform plan – Top 10 by 20 – setting the goal of public education to rank in the top 10 on national and international measures of performance by 2020. Three key goals are set that 1) all Missouri high school students will graduate college and career ready; 2) all Missouri children will enter kindergarten prepared to be successful in school; and 3) Missouri will prepare, develop and support effective educators. Strong preschool and school library programs are needed to support reaching these goals.

### Academic Libraries

Data from the NCES 2010 ALS showed gate counts at Missouri's 108 academic libraries at more than 400,000 visits per week. Academic libraries held 22.6 million volumes at the end of fiscal year 2010 – 20% of the libraries held less than 5,000 volumes, while 52% of libraries had 50,000 or more volumes. These libraries also held more than 2.2 million eBooks and access to more than 19,000 electronic reference sources. Sixty-three percent of the academic libraries in the state reported providing virtual reference services.

Library services for college level students in Missouri's public and independent institutions are supported through MOBIUS, a consortium of fifty-nine academic libraries, four public libraries, and two special libraries. The consortium serves as a platform for a shared integrated library system (ILS), providing patron initiated borrowing and a courier service to facilitate timely delivery of materials to support student and faculty research. The MOBIUS union catalog includes over 23 million items, and serves over 1.5 million people. MOBIUS converted to a 501(c)(3) in July 2010, allowing for a more flexible structure. In 2011, it expanded to include an open-source ILS platform, and began to offer services to public libraries on that platform. MOBIUS recently completed a new strategic plan, with emphasis on enhancing resources sharing, expanding membership and developing new training opportunities for members.

### Internet Connectivity

Through the Missouri Research and Education Network (MOREnet), nearly 800 schools, colleges and universities, public libraries, state government, health care and other institutions are able to share a cost-effective, robust, reliable Internet network. Members are able to access Internet 2, videoconferencing, training, technical support, and online databases. The network supports over 1000 Internet connections. The network is largely member funded, but state funding still supports the Remote Electronic Access for Libraries (REAL) Program, paying part of the cost of public library connections and for several online databases used by all members. Public library connections range from 1.5 Mbps to over 100 Mbps, with 150 of the 250 connections at the 1.5 Mbps level. In most locations, these connections will soon need to be upgraded to greater capacity.

### **Library Staff and Trustees**

Statewide, 38% of professional library staff in public libraries and public library media centers has a Master's degree in a library-related major. Table 4 provides specifics on the number of degreed professionals in public libraries by library size and metropolitan area.

**Table 4 – Public Library Staff with ALA-MLS**

<b>Type of Library</b>	<b>Librarians with ALA-MLS</b>	<b>Professional Staff with ALA-MLS</b>
Statewide	26%	38%
Urban/Suburban	33%	47%
Rural	10%	11%
Largest Libraries	33%	50%
Medium Libraries	37%	42%
Small Libraries	10%	11%
Smallest Libraries	8%	9%

Source: *Missouri Public Library Survey, FY11*

In Missouri, ninety percent of public library districts are independent political subdivisions. Therefore, the library leadership not only has responsibility for planning and setting policy, but also has sole control of the library's funding and budget, setting of tax levies, and compliance with laws and regulations for the library's operation.

## **Prioritization of Goals**

Goal one involves building and sustaining information resources and is considered foundational to library service. Emphasis is placed on statewide initiatives, but support of the local infrastructure is important as well to ensure equity of access to library materials and services.

Goal two strives to bridge the information and digital divides across socioeconomic lines to foster a literate, competent and productive citizenry. Emphasis is placed on reaching people with limited or developing literacy, and underserved rural and urban populations. Statewide initiatives are given higher priority over local efforts.

Goal three is to strengthen the library workforce to deliver services and programs that best address the needs of Missourians in a timely, efficient and effective manner. While library workforce development is considered highly important, overall priority is given to meeting user needs. For example, meeting the digital literacy needs of patrons is a higher priority than providing continuing education opportunities for library staff.

## GOAL 1:

Missourians have expanded services for learning and equity of access to quality library resources, services and technology to support individuals' needs for education, lifelong learning, and digital literacy skills.

### LSTA Goal Theme: Building/Sustaining Information Resources

#### **LSTA Priority 1**

*Expand services for learning and access to quality information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support individuals' needs for education, lifelong learning, workforce development, and digital literacy skills.*

#### **LSTA Priority 2**

*Establish or enhance electronic and other linkages and improve coordination among and between libraries and entities for the purpose of improving the quality of and access to library and information services*

## NEEDS ASSESSMENT

The most recent Current Population Survey on Internet use shows that 38% of Missourians do not use the Internet at home. That figure implies that 1.6 million public library residents are checking e-mail, using social media, completing government forms or seeking information for school assignments or lifelong learning either at work, or more likely, at their local library. How are Missouri's libraries currently fulfilling this need?

- Over 62% of Missouri's public library Internet connections are at 1.5 Mbps, barely considered broadband, and therefore in need of upgrading to greater capacity. Participants at town hall meetings consistently reported adequate Internet connectivity as a growing concern in the delivery of effective library services. Costs for services vary dramatically across the state, with rural areas especially facing high costs. Alternative technologies such as wireless radio access offer some prospect for upgrading bandwidth at lower cost.
- More applications, services, and data are moving to remote storage and access, requiring more robust Internet connections for access. Libraries are also exploring meeting their users through the Internet applications they are already using, rather than on a library website or dedicated portal.
- Seventy-four percent of public libraries in the state currently offer wireless Internet access. As the public continues to increase use of mobile devices, the demand for wireless access in libraries will increase, and there may be less use of desktop and stationary equipment as a result. Town hall meeting participants reiterated the need to integrate library services into the mobile environment. However, mobile platforms and applications are evolving rapidly, making it difficult for libraries to adapt services and maintain staff competencies.
- Fewer than 30% of the public libraries in the state offer downloadable materials in their collections. EBook usage is growing, and may soon reach a tipping point for ubiquity of service. Device costs are decreasing, but eBooks pose challenges in cost, platforms, licensing, and ease of use for libraries seeking to provide them for their users. The publisher and vendor landscape is changing rapidly and new modes of providing content are emerging.

According to the 2005 Heritage Health Index, "More than 4.8 billion artifacts are held in public trust by more than 30,000 archives, historical societies, libraries, museums, scientific research collections, and archaeological repositories in the United States...Their collections teach and inspire and are vital to sustaining a well-educated and connected citizenry, a thriving tourist industry, and a wealth of knowledge to enrich and

enlighten our civilization. They are a public trust that must be protected for future generations.” The Missouri State Library and the Missouri State Archives have been instrumental in coordinating efforts via Missouri Digital Heritage to preserve these collections as they relate to Missouri history. Strong promotional efforts are needed to ensure the public is aware of the rich wealth of digitized resources available to them.

More than 70% of Missouri’s small libraries are in rural parts of the state. Efforts to improve equity of access with the provision of shared online resources, bibliographic discovery tools, as well as a courier service for delivery of interlibrary materials, have proven invaluable to these libraries and their patrons as affirmed through comments at town hall meetings and on satisfaction surveys. However, as demand increases for more digital content, efforts need to be made to promote current programs, monitor emerging trends, consult with and train library staff to transition from print-based services.

## STRATEGIES

**Strategy 1 (LSTA Priority 1):** The State Library will support a strong information resource and resource-sharing infrastructure to support individuals’ needs for education, lifelong learning, and digital literacy skills

## PROGRAMS

- a. **Online Resources Program:** Partner with MOREnet, Missouri libraries, and other entities as appropriate to provide statewide access to online resources; training in use of the resources; instructional curriculum for use with library staff and patrons; and to assist with other consortial online resource offerings as appropriate (Years 1-5)
- b. **Bibliographic Resources Program:** Partner with OCLC, a worldwide library consortium, to provide bibliographic discovery and resource-sharing tools (Years 1-5)
- c. **Courier Service:** The State Library and a statewide project partner will provide courier service for interlibrary delivery of materials (Years 1-5)
- d. **Shared Integrated Library System:** Participate in and provide funding for the management of open-source software for discovery and resource-sharing among libraries with disparate automation systems (Years 1-5)
- e. **Discovery Services:** Monitor trends in discovery services and assess feasibility for implementation in Missouri to increase access to library resources. Discovery services will be implemented if fiscally and technically feasible; pilot projects may be supported to test feasibility in certain environments. (Years 1-5).
- f. **Digitization Program:** The State Library will partner with the State Archives and other Missouri cultural heritage institutions to create, maintain, expand and promote online digital collections (Years 1-5)
- g. **Digital Transition:** The State Library will help libraries manage the transition from print-based to electronic library services to ensure services and content, including born digital materials, are accessible over current and future platforms (Years 1-5)
- h. **Training and Consultant Services:** Provide and/or promote training opportunities and one-on-one assistance to enhance skills and programs pertaining to information resources, resource-sharing and services for learning (Years 1-5)
- i. **Outreach and Promotion:** In partnership with state and local agencies, develop and implement a statewide awareness campaign to increase knowledge about and use of LSTA-supported statewide initiatives supporting services for learning and access to content. (Years 1-5)
- j. **Subgrants and Other Assistance:** Provide subgrants or other assistance for projects supporting information resources, resource-sharing and services for learning (Years 1-5)

- k. **Monitor Trends:** Monitor trends in content and its accessibility, encouraging the implementation of and training in new or improved resources, services, and best practices to support services for learning and access to content when fiscally and technologically prudent (Years 1-5)

**OUTCOME 1 (LSTA PRIORITY 1): Missourians have expanded services for learning and knowledge of and equity of access to quality library resources and services**

**TARGETS:**

- MOREnet statistical reports will show a 5% increase in use of the suite of online resources available for statewide access via academic, school and public libraries during the five year plan
- Training will be provided on the content and search functions of online resources and 75% of participants will report on follow up surveys having implemented the skills learned during training
- Instructional curriculum created through State Library and partner efforts will be in use at 10% of Missouri public libraries within 2 years of availability of materials, with continued growth shown throughout the remainder of the five year plan
- Courier service participation surveys will show an increased acceptance of and satisfaction with the service
- Staff surveys of the shared integrated library system will show increased acceptance of and satisfaction with the service
- Metadata for Missouri Digital Heritage collections will continue to be created in a manner that follows best practices

**Strategy 2 (LSTA Priority 2):** The State Library will partner with MOREnet, Missouri libraries and other entities as appropriate to provide a strong statewide and local technology infrastructure

**PROGRAMS**

- a. **REAL Program:** Continuance of public library participation for statewide connectivity, technical support and training through the REAL Program (Years 1-5)
- b. **Monitor Networks:** The State Library, local libraries and partners will monitor bandwidth use and demand and other network details to ensure strong technology infrastructures at the statewide and local levels (Years 1-5)
- c. **Training and Consultant Services:** Provide and/or promote training opportunities and one-on-one assistance to enhance skills in technology planning and the effective use of technology (Years 1-5)
- d. **Subgrants and Other Assistance:** Provide subgrants or other assistance for projects that improve the quality and effective use of technology offered by local libraries to meet user needs in their communities (Years 1-5)
- e. **Emerging Technologies:** Monitor trends in technology, implementing new technologies and best practices to support statewide and local technology infrastructures when fiscally and technologically prudent (Years 1-5)

**OUTCOME 2 (LSTA PRIORITY 2): Missouri libraries use a strong statewide and local technology infrastructure to best meet patron needs**

**TARGETS:**

- Training will be provided to enhance skills in technology planning and the effective use of technology, and 75% of participants will report on follow up surveys having implemented the skills learned during training
- MOREnet and the REAL Program will maintain its high satisfaction levels on customer surveys of meeting training and technical support needs and value in relationship to cost
- 40% of Missouri public libraries will implement system software or hardware to improve the operation and flexibility of their technology infrastructure during the five-year plan

## GOAL 2:

Strengthen and expand both quality and availability of library services appropriate to meet the educational, cultural, intellectual, workforce, personal and social development needs of Missourians, particularly persons with difficulty using the library and underserved rural and urban areas.

### LSTA Goal Theme: Targeting Library and Information Services

#### **LSTA Priority 5**

*Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills.*

#### **LSTA Priority 6**

*Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.*

### **NEEDS ASSESSMENT**

More than 800,000 (14%) of Missouri's non-institutionalized population has a disability: 17% (142,000) have a vision difficulty, 29% reported a hearing difficulty and 38% a cognitive difficulty. As the population ages, a substantial increase in blindness and low vision is expected. Couple the current needs level with projected increases in the senior population, and the necessity for continued services for people with print impairments becomes readily apparent.

Reports show that the Wolfner Talking Book and Braille Library had over 10,000 active individual readers in fiscal year 2010. Additionally, 86% of its surveyed patrons rated the overall quality of service received as excellent. Outreach efforts must continue with potential referral agents, partners and key stakeholders to promote the availability of Wolfner services to all qualifying Missourians.

Literacy is essential to success in today's economy. Research shows that low family income and a mother's lack of education are the two biggest risk factors that hamper a child's early learning and development (National Center for Family Literacy, [www.famlit.org](http://www.famlit.org)). Expanding library services to underserved Missourians is paramount:

- More than two-thirds of public library districts in Missouri are in counties with poverty rates above 15.3%; more than one-third are in counties with unemployment rates above 10%; 48% of students in Missouri schools are enrolled in free or reduced price lunch programs.
- Minorities make up 19% of the total population in Missouri – 25% of the population under age 18 and 28% of children under 5 are minority (a 31% increase since 2000 for the pre-school age group)
- Nine urban library districts serve nearly as many people as the 95 rural library districts (20% compared to 22% of the public library district population)
- Academically, Missouri is struggling to provide adequate resources for education. Currently, Missouri ranks in the middle of the 50 states in terms of educational performance. While test scores show some improvement, strong preschool and school library programs are needed to support reaching the "Top 10 in 20" goals.

- K-12 funding is under pressure, from both local and state funding streams. School library budgets are under particular pressure, in some cases resulting in loss of staff positions.
- Enrollment in Missouri's public 2 year and 4 year colleges and universities has been increasing – 44% of college students in Missouri are age 25 or older. While state funding for higher education has been decreasing, institutions have found themselves having to increase tuition and fees to maintain services.

Studies, such as the Adult Literacy and Life Skills Survey, have shown that a lack of foundational life skills affects the economic, health and social well-being of individuals, families and communities. Libraries, as community anchors, can play a pivotal role in facilitating efforts that help individuals improve life skills to better address the challenges of daily and work life.

Currently, sixty-six percent of public library districts in the state report working with local organizations in developing or providing library programs or services. Training and other activities to encourage library service improvements and support local partnerships must continue to support the needs of Missourians.

## STRATEGIES

**Strategy 1 (LSTA Priority 5):** The State Library will partner with other agencies and local libraries in the improvement, expansion and/or development of inclusive and accessible library services and resources to meet the needs of people with disabilities

## PROGRAMS

- Wolfner Library Services:** Provide support of Wolfner Talking Book and Braille Library to meet patron needs (Years 1-5)
- Wolfner Library Promotion:** Promote the availability of Wolfner Talking Book and Braille Library services to qualifying individuals through outreach efforts, including to potential referral agents, partners and other key stakeholders who serve the target population (Years 1-5)
- Training and Consultant Services:** In partnership with state and local agencies, provide trainings, one-on-one assistance and other resources to improve library services to people with disabilities (Years 1-5)
- Subgrants and Other Assistance:** Provide subgrants or other assistance to support programs and services relating to library services targeting people with disabilities (Years 1-5)
- Monitor Trends:** The State Library will monitor trends in library services to people with disabilities, encouraging the implementation of and training in new or improved resources, services, and best practices to support library services to people with disabilities when fiscally and technologically prudent (Years 1-5)

**OUTCOME 1 (LSTA PRIORITY 5):** Missourians with print and other disabilities have access to resources and services to meet their educational, cultural, intellectual, personal and social development needs

## TARGETS:

- Wolfner Library will maintain its high customer service satisfaction levels
- The number of people served through Wolfner Library will increase by 3% from 2012 levels
- Training of library staff will be provided on opportunities pertaining to disability awareness and library services, and 75% of participants will report on follow up surveys having implemented the skills learned during training

**Strategy 2 (LSTA Priority 5):** The State Library and partners will conduct and promote trainings and other activities that encourage library service improvements to meet educational, cultural, intellectual, personal and social development needs

#### **PROGRAMS**

- a. Literacy Programs Development:** In partnership with other agencies around the state, promote and present training in the areas of literacy services encompassing a wide variety of topics and target audiences, including but not limited to, summer reading programs, early literacy, family literacy, ESL resources and training and GED support (Years 1-5)
- b. Cultural Programs Development:** In partnership with other agencies around the state, support, promote and provide training on programs that enhance the cultural and intellectual understanding of individuals (Years 1-5)
- c. Subgrants and Other Assistance:** Provide subgrants or other assistance for projects that support programs relating to literacy skills development (Years 1-5)
- d. Monitor Trends:** The State Library will monitor trends in library services to people with developing or low literacy skills, encouraging the implementation of and training in new or improved resources, services, and best practices to support library services to these populations when fiscally and technologically prudent (Years 1-5)

**OUTCOME 2 (LSTA PRIORITY 5):** Missourians have access to resources and services to meet their educational, cultural, intellectual, personal and social development needs

#### **TARGETS**

- Training will be provided in the areas of literacy services and cultural programming, and 75% of participants will report on follow up surveys having implemented the skills learned during training
- Participation in teen and children summer reading programs will increase by 3% during the course of the five-year plan

**Strategy 3 (LSTA Priority 5):** The State Library and partners will conduct and promote trainings and other activities that encourage library service improvements that remediate social problems and improve participants' quality of life.

#### **PROGRAMS**

- a. Life Skills Programs Development:** Assist libraries across Missouri in developing and enhancing their provision of life skills development services. Topical examples include but are not limited to parenting skills development and health literacy. (Years 1-5)
- b. Subgrants and Other Assistance:** Provide subgrants or other assistance for projects that support library services to enhance life skills (Years 1-5)
- c. Monitor Trends:** The State Library will monitor trends in library services to address life skills development, encouraging the implementation of and training in new or improved resources, services, and best practices to support such services when fiscally and technologically prudent (Years 1-5)

**OUTCOME 3 (LSTA PRIORITY 5): Missourians have improved skills to make informed decisions that affect their life conditions.**

#### **TARGET**

- Training will be provided in the area of library services that enhance the understanding of and development of library services pertaining to life skills, and 75% of participants will report on follow up surveys having implemented the techniques learned during training

**Strategy 4 (LSTA Priority 5):** The State Library and partners will conduct and promote trainings and other activities that encourage library service improvements that target the economic needs of individuals and communities.

#### **PROGRAMS**

- Workforce and Economic Development Services Programs Development:** Assist libraries across Missouri in developing and enhancing their provision of workforce development services including job information, career readiness, resume development, computer literacy, financial literacy, and small business resources and services (Years 1-5)
- Subgrants and Other Assistance:** Provide subgrants or other assistance for projects that support library services targeting workforce development (Years 1-5)
- Monitor Trends:** The State Library will monitor trends in library services to address workforce development, encouraging the implementation of and training in new or improved resources, services, and best practices to support such services when fiscally and technologically prudent (Years 1-5)

**OUTCOME 4 (LSTA PRIORITY 5): Missourians have access to resources and services to meet their workforce skills needs, fostering a competent and productive citizenry.**

#### **TARGETS:**

- 25% of Missouri public libraries will offer or partner with other entities in offering workforce and economic development training opportunities by 2017
- Statistical reports will show a 10% increase in use of online tools provided to libraries to support efforts in fostering workforce skill building

**Strategy 5 (LSTA Priority 6):** The State Library and partners will conduct and promote trainings and other activities to improve, expand and/or develop library services to targeted and underserved populations.

#### **PROGRAMS**

- Youth Services Programs Development:** Develop child and youth services training, provide one-on-one assistance and other support activities for library staff working with children age 0-18 to develop, expand and/or improve library services to these populations (Years 1-5)
- Adult/Senior Services Programs Development:** Develop adult and senior services training, and provide one-on-one assistance and other support activities for library staff working with adults and seniors. Topics will include but are not limited to adult reading programs, services to seniors, and other topics pertinent to adult and senior services (Years 1-5)

- c. **Underserved Populations Programs Development:** Develop targeted population services training, provide one-on-one assistance and other support activities for library staff working with targeted underserved populations to develop, expand and/or improve library services to these groups (Years 1-5)
- d. **Planning, Outreach and Promotion:** In partnership with state and local agencies, assist libraries in identifying, planning and promoting library services and resources to targeted populations (Years 1-5)
- e. **Subgrants and Other Assistance:** Provide subgrants or other assistance for projects that support services to targeted populations (Years 1-5)
- f. **Monitor Trends:** The State Library will monitor trends in library services to targeted populations, encouraging the implementation of and training in new or improved resources, services, and best practices to support library services to these populations when fiscally and technologically prudent (Years 1-5)

**OUTCOME 5 (LSTA PRIORITY 6): Persons having difficulty using a library and those in underserved urban and rural communities have improved access to library services that are pertinent to their unique needs**

**TARGETS:**

- Training will be provided in ways to improve, expand and/or develop library services to targeted and underserved populations, and 75% of participants will report on follow up surveys having implemented the skills learned during training
- 50% of Missouri public libraries will have at least one staff member participate in youth services training

## GOAL 3:

Current library workforce and leadership possess enhanced skills to advance the effective delivery of library and information services.

### LSTA Goal 3 Theme: Strengthening the Library Workforce

#### **LSTA Priority 3**

*(a) Provide training and professional development, including continuing education, to enhance the skills of the current library workforce and leadership, and advance the delivery of library and information services, and (b) enhance efforts to recruit future professionals to the field of library and information services.*

### **NEEDS ASSESSMENT**

Providing high quality library service, as well as meeting the challenges of changing technologies and service needs is dependent upon libraries having well-trained staff. The importance of staff training in improving library services was reinforced during discussions at town hall meetings.

One measure of capacity to provide high quality service is the percent of staff with a graduate degree. Statewide, only 38% of professional library staff in public libraries has an ALA-MLS. Particularly in rural areas, library district budgets do not support sufficient salaries to employ staff with a graduate level degree. However, all staff members need to be continually engaged in learning, whether through classes, workshops, reading, networking or other activities, to keep up with and improve their skills.

The number of school librarians has fluctuated over the last five years, and is now lower than in 2008 by 75 staff positions. Consequently, school librarians often find themselves serving multiple school buildings. Of even more concern, many school districts have replaced degreed librarians with staff certified by test as a library media specialist. These staff often lack understanding of even basic library practices, and must learn as they can on the job.

Ninety percent of the public library districts in Missouri are independent political subdivisions. The members of the library board have an even greater need for education regarding their roles, responsibilities, and duties to ensure compliance with laws and regulations for the library's operation.

### **STRATEGIES**

**Strategy 1 (LSTA Priority 3):** The State Library and partners will support the continuing education of library staff in order to develop and enhance skills needed to improve library services. The State Library will also invest in the professional development of the library workforce and leadership by providing resources and information that support planning, development and management of strong local library service.

### **PROGRAMS**

- a. **Library Staff Skills Trainings:** Library staff will be offered up-to-date continuing education on a wide variety of topics and in a wide variety of formats to advance the delivery of library and information services. Trainings will be widely promoted to reach the greatest possible appropriate audience. (Years 1-5)

- b. Data Analysis:** Compile, analyze, and publish data on Missouri library services, and provide comparisons for use in planning services. (Years 1-5)
- c. Library Science Resources Collection:** Provide a current collection of library science materials available for loan to advance the delivery of library and information services (Years 1-5)
- d. Best Practices and Standards:** Provide program evaluation, including use of peer evaluation, balanced scorecard, benchmarking, comparative statistics and other means for identifying, developing and implementing best practices and standards to improve library services (Years 1-5)
- e. Consultant Services:** Provide point of need assistance on library issues to library staff and trustees as needed to address local library services needs (Years 1-5)
- f. Monitor Library Service Trends, Issues, and Opportunities:** Promote awareness of library service trends and opportunities through regular communications, SOS website, and other means to advance the delivery of library and information services (Years 1-5)
- g. Subgrants and Other Assistance:** Provide subgrants or other assistance for individuals or groups to participate in continuing education events to enhance library knowledge and skill level of the participant(s) (Years 1-5)
- h. Scholarship Program:** Current scholarship students will be tracked until all commitments are completed (Years 1-4)

**Outcome 1 (LSTA Priority 3): Library staff members have enhanced skills that improve service delivery to the public**

#### **TARGETS:**

- Training will be provided in skills to advance the delivery of library and information services, and 75% of participants will report on follow up surveys having implemented the skills learned during training
- 90% of libraries with at least 3 FTE will participate in one or more continuing education events during the course of the five-year plan
- Number of subscribers to Missouri State Library discussion lists and newsletters will continue to grow each year from 2013 to 2017
- Use of the Library Science Resources Collection will increase by 15% between 2013 and 2017
- Annual Statistical Report Survey data will be posted on the Missouri State Library's website each year for use by the public library community in planning
- 15% of grants awarded will receive onsite grant monitoring visits

**Strategy 2 (LSTA Priority 3):** The State Library and partners will support library leadership by providing high quality resources and training to library trustees, directors and managers that promote outstanding leadership and management practices, as well as help leaders assess communities' needs, and evaluate and enhance their institutions' capacity to meet them.

#### **PROGRAMS**

- a. Library Leadership Trainings:** Library trustees, directors and managers will be offered up-to-date continuing education in a wide variety of formats on pertinent topics such as, but not limited to, strategic planning, policy development and budgeting to strengthen library leadership and management (Years 1-5)
- b. Subgrants and Other Assistance:** Provide subgrants or other assistance for individuals or groups to participate in continuing education events to enhance library leadership, planning and management skills (Years 1-5)

- c. **Monitor Trends:** The State Library will monitor trends in library administration and management, public policies and partner activities that impact service, encouraging the implementation of and training in new or improved resources, services, and best practices to support strong library services as appropriate (Years 1-5)

**Outcome 2 (LSTA Priority 3): Library directors, managers and trustees possess enhanced skills to effectively lead Missouri libraries.**

**TARGETS:**

- Training will be provided in skills to advance library leadership and management, and 75% of participants will report on follow-up surveys having implemented the skills learned during training
- 50% of Missouri public libraries will have trustees participate in training opportunities during the course of the five year plan

## Coordination Efforts

Mindful of the need to eliminate waste, avoid duplication of effort, and leverage funds in a responsible manner to offer the best possible library service to the residents of Missouri, the Missouri State Library (MOSL) will continue to coordinate efforts at the State level through partnerships with Missouri's Department of Elementary and Secondary Education, the Missouri Literacy Resource Center, the Missouri Division of Workforce Development, the Missouri Department of Social Services, the Missouri Research and Education Network (MOREnet), and Missouri's Department of Mental Health. Coordination at the national level will include participation in the Collaborative Summer Reading Program, and selected programs of the American Library Association and other entities.

New partnerships will also be explored including the Missouri Humanities Council, Missouri Career Centers, and the Missouri Department of Health and Senior Services.

Competitive grant projects will be required to obtain input from local partners in preparing proposals and implementing programs at the local level.

## Evaluation Plan

The following methods will be used to monitor progress toward meeting plan goals.

1. All statewide and local projects funded through LSTA will include an evaluation plan that uses output and outcome data to assess project impact. Specifically, continuing education events will measure levels of knowledge and implementation of program content; and grant projects will collect program participant data, as well as collect and disseminate best practices, statistics and anecdotal results.
2. Library Development staff will review the overall effectiveness and impact of LSTA-funded programs in addressing the goals at the conclusion of every grant cycle. Results-based management will be used in developing yearly plans that address current and emerging needs.
3. The State Librarian and Library Development staff will monitor the need for an amendment to this five year plan based on the library environment, changes in funding, and other concerns that may affect plan implementation.
4. The evaluation of the full five-year plan will be conducted by an independent evaluator and will encompass retrospective assessments, process assessments and prospective analysis or other areas as identified by the Institute of Museum and Library Services.

## Stakeholder Involvement

The Missouri State Library contracted Tom Peters of TAP Information Services to facilitate five town hall meetings throughout the state with 91 in attendance. Participants were from public, school and academic

libraries, including library staff members serving a variety of roles and trustees. Because of a low response from the academic community, questions discussed at the town hall meetings were also sent to an academic libraries discussion list which resulted in five additional responses.

The Missouri State Library contracted with the Assessment Resource Center (ARC), University of Missouri to evaluate the LSTA FY2008-2012 five year plan and to develop and administer surveys regarding barriers to LSTA program participation and prioritization of use of funds.

The Missouri State Library took advantage of an opportunity presented by the Bill & Melinda Gates Foundation for State Library Authorizing Agencies (SLAA) to be provided an assessment and review of their strategic direction by The Parthenon Group. SLAAs were challenged to consider the relationship between services provided to libraries, the comparative advantage of those services, and the value placed on them by the libraries. The process also encouraged a review of opportunities for the SLAA to evolve as the needs of the library community change.

With information provided from the town hall meetings, ARC evaluation and survey summaries, results from Assessment of Strategic Direction, and Library Development consultant input, an LSTA Strategic Planning Webinar was held on March 26, 2012. The Secretary's Council on Library Development met on April 6, 2012 to refine and prioritize goals and programs for the next five years.

Plan goals, strategies and activities were endorsed by the Secretary of State's Council on Library Development on April 6, 2012. The final document was written by Missouri State Library development staff and approved by the Missouri Secretary of State.

Throughout the implementation of Missouri's LSTA FY2013-2017 plan, State Library staff will gather information from the library community and the Secretary's Council on Library Development regarding their concerns and needs in implementing the LSTA program and updating plan goals and programs. These assessments will assist in measuring satisfaction with current services, prioritizing services currently provided and identifying and prioritizing new services as appropriate.

## **Communication Procedures**

When notification from the Institute for Museum and Library Services (IMLS) of the approval of the Missouri State Plan is received, the plan will be published on the MOSL website. Statewide promotion of the new plan will be provided through newsletters, announcements at the Missouri Library Association conference in October 2012, and other meetings during that time period. Printed copies will also be available upon request from MOSL.

Competitive grant awards will be posted on the MOSL website. Goals and outcome targets achieved under the 2013-2017 plan will be published in IMLS State Program Reports, press releases, MOSL newsletters, website announcements, and other means as they become available.

An executive summary of the five-year evaluation will be posted on the MOSL website to document progress in meeting plan goals.

## Monitoring Procedures

As the designated SLAA granted federal LSTA funds through the IMLS, the Missouri State Library is required both by IMLS and by OMB Circular A-133 to monitor sub-recipients' expenditures and administration of LSTA funds. IMLS requirements for monitoring sub-recipients' expenditures of LSTA grant awards are described in CFR 1180-1185. In addition, Missouri the State Library follows the preferred method of paying sub-grantees the majority of grant funds in advance, as specified in CFR 1183.21 (C). Finally, the Missouri State Library's monitoring policies and procedures reflect that provision in OMB Circular A-133 which exempts non-federal entities from single audits of federal awards under \$500,000 (in the aggregate within a single fiscal year), but specifies that sub-recipients' "records must be available for review of audit by appropriate officials . . ." for monitoring and audit purposes.

The grant proposal and any project revisions provide the basis for the monitoring process. Each project is expected to closely follow the proposal and any subsequently approved project revisions. Monitoring of a grant project is handled in several ways, including phone calls, e-mails, formal reports, and site visits. Typically, a project will be monitored by MOSL consulting staff through report reviews. No fewer than 15% of libraries awarded competitive grants will receive an onsite visit. During the visit, the consultant will observe project operation, examine related documents, and meet with project staff to gather additional information about the project. Other factors influencing the type of monitoring chosen include the size of the grant award, experience of the project director, and complexity of the project. After the monitoring visit, the consultant will prepare a written report. Copies of the complete report are maintained in MOSL grant files. A summary letter is sent to the Library Director and Project Manager.

## Definitions

### Addendum A

- A. A public library is a library established and maintained under the provisions of the library laws or other laws of the state related to libraries, primarily supported by public funds and designed to serve the general public.
- B. A public elementary school or secondary school library is a library controlled and operated by publicly supported elementary or secondary schools, and designated to serve faculty and students of that school.
- C. An academic library is a library which is controlled and operated by a two (2) or four (4) year college or university, either publicly supported or private, and which is designated primarily to serve faculty and students of that college or university.
- D. A special library is a library established by an organization and designed to serve the special needs of its employees or clientele. A special library must have an appropriately trained librarian, an organized collection, a minimum of 20 hours of service per week, with some opportunity allowed for service to the public or a strong commitment to resource sharing. They include both private libraries and publicly funded libraries, such as those serving mental health facilities, correctional institutions, and government agencies.
- E. A library consortium is any local, statewide, regional, interstate, or international cooperative association of library entities which provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such library entities.

# Focal Area Mapping

## Addendum B

Focus Category	Service/Activity	Target Users/Beneficiaries
Lifelong Learning	Wolfner Library Services	Users with print disabilities
	Wolfner Library Promotion	Users with print disabilities
	Literacy Programs Development	Multigenerational populations including those with limited or developing literacy skills and those who are underserved
	Cultural Programs Development	Multigenerational populations including those with limited or developing literacy skills and those who are underserved
	Youth Services Programs	Children birth-age 18, including underserved populations
	Adult/Senior Services Programs	People age 19 and up, including underserved populations
	Underserved Populations Programs	Multigenerational, underserved populations
	Planning, Outreach and Promotion	Multigenerational, underserved populations
	Training and Consultant Services	Multigenerational, underserved populations
	Subgrants and Other Assistance	Multigenerational populations including those with limited or developing literacy skills and those who are underserved
	Monitor Trends	Multigenerational populations including those with limited or developing literacy skills and those who are underserved
Human Services	Life Skills Programs	Multigenerational populations including those with limited or developing literacy skills
	Subgrants and Other Assistance	Multigenerational populations including those with limited or developing literacy skills and underserved populations
	Monitor Trends	Multigenerational populations including those with limited or developing literacy skills and underserved populations
Employment and Economic Development	Workforce and Economic Development Services Programs	Adult and teen populations, including unemployed and individuals in small businesses
	Subgrants and Other Assistance	Adult and teen populations, including the unemployed and individuals in small businesses

Focus Category	Service/Activity	Target Users/Beneficiaries
	Monitor Trends	Adult and teen populations, including unemployed and individuals in small businesses
Information Access	REAL Program	Users across Missouri
	Monitor Networks	Users across Missouri
	Emerging Technologies	Users across Missouri
	Online Resources Program	Users across Missouri
	Bibliographic Resources Program	Users across Missouri
	Courier Service	Users across Missouri
	Shared Integrated Library System	Users across Missouri
	Discovery Services	Users across Missouri
	Digitization Program	Users across Missouri; students and researchers nationally
	Digital Transition	Users across Missouri
	Training and Consultant Services	Users across Missouri
	Outreach and Promotion	Users across Missouri
	Subgrants and Other Assistance	Users across Missouri
	Monitor Trends	Users across Missouri
Capacity Building	Library Skills Staff Trainings	Missouri library staff
	Data Analysis	Missouri library staff, including library leaders
	Library Science Resources	Missouri library staff, including library leaders
	Best Practices and Standards	Missouri library staff
	Consultant Services	Missouri library staff, including library leaders
	Monitor Library Service Trends, Issues and Opportunities	Missouri library staff, including library leaders
	Library Leadership Trainings	Missouri library staff
	Subgrants and Other Assistance	Missouri library staff, including library leaders
	Scholarship Program	Future Library Leaders

***The Missouri State Library works to strengthen  
libraries and library leadership in Missouri communities  
and strives to ensure Missourians have equal access to library service.  
--Missouri State Library Mission Statement***

The Library Services and Technology Act (LSTA), the major federal grant program for libraries, is provided through the Institute of Museum and Library Services (IMLS). It is a state-based program with a mandate:

- to use technology to bring information to people in innovative and effective ways
- to assure that library service is accessible to all, especially those who have difficulty using the library
- that emphasizes public libraries, but encourages interlibrary cooperation and partnerships with all types of libraries
- that emphasizes accountability and evaluation for all funded projects

IMLS has identified four purposes and six priorities for the use of Library and Services Technology Acts (LSTA) funds.

#### **LSTA Purposes**

1. **Consolidate Federal Library Services:** Consolidate Federal library service programs
2. **Improve Library Service:** Promoting improvement in library service in all types of libraries in order to better serve the people of the United States
3. **Cultivate an Educated and Informed Citizenry:** Facilitate access to resources in all types of libraries for the purpose of cultivating an educated and informed citizenry
4. **Encourage Resource Sharing:** Encourage resource sharing among all types of libraries for the purpose of achieving economical and efficient delivery of library services to the public

#### **LSTA Priorities**

1. **Expanding Services for Learning:** Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages
2. **Developing a Strong Technology Infrastructure:** Developing library services that provide all users access to information through local, State, regional, national and international electronic networks
3. **Providing Online Access to Materials:** Providing electronic and other linkages among and between all types of libraries
4. **Developing Partnerships:** Developing public and private partnerships with other agencies and community-based organizations
5. **Supporting an Educated and Informed Citizenry:** Targeting library services to individuals of diverse geographic, cultural and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills
6. **Serving the Underserved:** Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with income below the poverty line

The Missouri State Library administers the grant program to all types of libraries in Missouri based on the purposes and priorities of LSTA and developed from the goals and outcomes identified in *Missouri State Library LSTA Program: Five-Year Plan for Years 2013-2017*.

**Missouri State Library LSTA Five-Year Plan Goals**

1. **Building and Sustaining Information Resources:** Missourians have expanded services for learning and equity of access to quality library resources, services and technology to support individuals' needs for education, lifelong learning, and digital literacy skills.
2. **Targeting Library and Information Services:** Strengthen and expand both quality and availability of library services appropriate to meet the educational, cultural, intellectual, workforce, personal and social development needs of Missourians, particularly persons with difficulty using the library and underserved rural and urban areas.
3. **Strengthen the Library Workforce:** Current library workforce and leadership possess enhanced skills to advance the effective delivery of library and information services.

In evaluating the needs of the Missouri library community in light of the LSTA purposes and priorities, the Missouri State Library submitted a plan to IMLS which would provide funding for competitive grant opportunities. Libraries seeking grants will be asked to identify which LSTA priority and Missouri State Library goal are addressed through the project and give specific examples of how the project will meet its identified need.

**Missouri State Library**

# **LSTA State FY2017 Project Plan**

**Approved**

**April 22, 2016**

**LSTA Grant Projects – Funding from Federal FY 2015  
(To be spent in State FY2017 – July 1, 2016 to June 30, 2017)**

***Note, all budget figures are estimates and subject to change based on actual contract quotes and grant applications received and awarded.***

**LSTA Statewide Projects**

**Missouri State Library Goal 1: Building and Sustaining Information Resources**

**LSTA Priority 1: Expand Services for Learning and Access to Information**

**LSTA Priority 2: Establish or Enhance Electronic Access to Library and Information Services**

**Show Me the World Courier Service**  
**Proposed Budget: \$241,224**

**CONTINUING**

The State Library will continue to support a two-day per week courier service for tax-supported public libraries. Providing state funding for the courier service improves turn-around time for interlibrary loan (ILL) requests, streamlines and improves library staff workflows, increases the number of loans and requests, lowers the cost for each ILL transaction and helps to equalize access to resources for medium-size and small libraries. In FY2015, 953,018 items were exchanged among libraries in the state.

**Show Me the World Integrated Library System Consortium**  
**Proposed Budget: \$184,421**

**CONTINUING**

This project continues support for the Missouri Evergreen consortium for the purposes of acquiring and implementing a shared integrated library system (ILS). This system improves discovery and sharing of library resources and provides a low-cost alternative to systems owned and managed individually by libraries. There are currently 25 public libraries in Missouri Evergreen, with a total collection size of 1,474,457 titles. The consortium recruits primarily from public libraries, but could include school and special libraries as well.

This is the fifth of five successive awards to provide technical support for the consortium and facilitate migration of new member libraries from their stand-alone integrated library systems to the consortium's union catalog. During SFY2017, the State Library will continue to work with Missouri Evergreen to help the consortium move toward self-sufficiency in the years following SFY2017.

**Show Me the World Interlibrary Loan**  
**Proposed Budget: \$395,208**

**CONTINUING**

This provides an integrated set of electronic services to facilitate resource sharing by public libraries. Funds are used to provide a statewide license for interlibrary loan; and access for users to search a 1 billion record database of library materials. In FY15, public libraries requested 158,433 materials for their users through this service. (\$380,208)

This project also provides funding for the retrospective conversion of library records to help make collections more accessible to local patrons and library users statewide. The resultant records are to be included in the grantee's online catalog and in the OCLC WorldCat database (\$15,000).

**Statewide Digitization Project*****CONTINUING*****Proposed Budget: \$58,884**

This project provides basic support and guidance for the Missouri Digital Heritage (MDH) portal based in the Office of Secretary of State/Missouri State Library. The number of items accessible through MDH grew to over 6.95 million records during SFY2015. MDH includes the resource collections created with LSTA grant funding, collections hosted at other institutions, and resources from the Missouri State Archives. Students, researchers, the general public, county and local governments, public, academic and school libraries and local history societies use these resources to explore the richness of Missouri's history and culture. The Missouri State Archives is a primary project partner, which contributes its own collections. Emphasis will continue to be placed on multi-partner projects on topics of statewide interest. In 2015 MDH became a partner in MoHub, the Missouri service hub for institutions contributing metadata to the Digital Public Library of America (DPLA). Staff are working with contributing institutions to obtain permission to upload metadata from MDH collections into DPLA through the MoHub.

Statewide digitization project expenses include the Missouri Digital Heritage database hosted service, a federated search product that acts as a web portal to all Missouri Digital Heritage collections and project promotion.

## **Missouri State Library Goal 2: Targeting Library and Information Services**

### **LSTA Priority 5: Supporting an Educated and Informed Citizenry**

#### **LSTA Priority 6: Serving the Underserved**

##### **Racing to Read**

**CONTINUING**

**Proposed Budget: \$151,100**

This project will help public libraries expand their role in fostering early literacy in their communities, using as the foundation and expanding upon a program developed by the Springfield-Greene County Library called Racing to Read. This easy to understand and use early literacy model focuses on five practices that parents and caregivers can use to help young children gain the skills needed to be ready to learn to read and write. The companion program, Racing to Read to Go, focuses on implementing or strengthening partnerships in the community and bringing early literacy services to remote locations to better reach at-risk populations.

In state fiscal years 2014 through 2016 public library staff received training in early literacy fundamental skills and Racing to Read to Go through workshops and webinars. The webinars were archived and are available for viewing on Watch.More.Net. Additionally, sixty-four (64) Racing to Read and seventy-three (73) Racing to Read Story Time Plus grants were awarded and Racing to Read skill cards and bookmarks and the book *Every Child Ready for School: Helping Adults Inspire Young Children to Learn* by Dorothy Stoltz, Elaine M. Czarnecki and Connie Wilson were distributed to public libraries throughout the state to strengthen early literacy programs and services available at Missouri's public libraries. The State Library continues to work on a Racing to Read section on the Office of the Secretary of State/Missouri State Library website.

In state fiscal year 2017, statewide early literacy support will include: 1) a digital story time webinar and workshop series (see the Literacy Services Development project in the next section for cost estimate); 2) the Racing to Read website will be expanded and improved; 3) access is proposed to an early literacy eBook database resource and promotional materials (\$113,200); 3) a brochure will be developed to assist libraries in recruiting community partners for their early literacy efforts (\$400) and 4) upon request, an early literacy program kit will be sent to libraries who have participated in early literacy training opportunities but are in need of additional program development support (\$37,500)

##### **Wolfner Talking Book and Braille Library**

**CONTINUING**

**Proposed Budget: \$356,000**

Wolfner Talking Book and Braille Library provides circulation of materials, and reader advisory and special library services for persons with physical difficulties in using standard print materials. This amount is appropriated through the General Assembly. There are currently 7,254 individual patrons plus 2,077 institutions using Wolfner Library, with an annual circulation 471,289 items. The most recent customer satisfaction survey shows a high rate of satisfaction with the services. Library staff will expand their outreach efforts to increase their users, with a target growth of 3% by 2017; and continue their work to move the locally recorded materials to BARD, so that they are more easily accessible to all National Library Service users.

**Missouri State Library Goal 3: Strengthening the Library Workforce**  
**LSTA Priority 3: Provide Training and Professional Development for the Library Workforce and Leadership**

**Library Skills Training**

**CONTINUING**

**Proposed Budget: \$47,130**

Library skills trainings are designed to deliver instruction on basic and advanced levels. Basic skills training will predominantly be available to paraprofessional library staff through the Alternative Basic Library Education (ABLE) and Supplemental Alternative Basic Library Education (SABLE) resources produced by the Idaho Commission for Libraries. However, basic topics pertaining specifically to Missouri issues may be held via multi-day intensive training sessions, webinars or single day regional workshops. Potential basic topics include an introduction to Library Development and the Missouri library landscape.

Potential topics for advanced skills trainings include leading change (\$10,560), new directors (\$3,300), using data (\$3,300), doing more with less (\$3,300), library law (\$3,300), veteran services (\$3,300), community workforce development (\$3,300), reaching and serving new adults (\$3,300) and social media (\$3,300). The cost for subscriptions to a variety of vendors supplying online content is estimated at \$10,170. Other topics will also be presented, but are expected to make use of existing or new partnerships and are not expected to incur a cost. Trainings may be held via multi-day intensive training sessions, single day regional workshops, webinars, or webcasts. A variety of partnerships and service providers will be explored

**Literacy Services Development**

**CONTINUING**

**Proposed Budget: \$39,270**

This project will provide training in the development and implementation of literacy-based services for public library staff members and their community partners. Potential topics include teen services (\$3,300), digital story times (\$10,535) a primer on adult literacy services (\$3,300), summer reading programs for children and teens (\$10,535), STEM/STEAM for children (\$8,300), and adult summer reading programs (\$3,300). Trainings may be held via webinars or single day regional workshops.

**Continuing Education for Academic Library Staff**

**CONTINUING**

**Proposed Budget: \$30,000**

In partnership with MOBIUS, funding is provided for the Annual MOBIUS Users' Conference, one of the largest educational events for academic librarians in Missouri. The conference program enhances skills and abilities in the use of the Common Library Platform system to provide students effective access to library content. Other learning sessions address topics such as digitization, student instruction, developing collections, and improving searching through cataloging. As a result of conference attendance, librarians are better educated and equipped to provide improved library service to their academic communities.

The conference is planned by a MOBIUS committee, but also provides a strong partnership opportunity for the Missouri State Library. The 2015 conference had 314 attendees and included keynote speakers and sessions involving four tracks: Emerging Technologies, Leadership and Management, Technical Services and Public Services. The conference budget is also supported through exhibits, vendor contributions, and MOBIUS funds.

The State Library responsibility involves participating in the MOBIUS Conference planning committee to monitor LSTA compliance, promoting the event, and funding through the LSTA program.

**Services to Persons Having Difficulty Using the Library**

**CONTINUING**

**Proposed Budget: \$20,000**

This project continues the successful partnership with the Department of Mental Health (DMH) to improve services for persons with mental health and/or developmental disabilities. DMH will continue to support the Librarian411.org project, including its promotion. DMH will also work to improve or expand services at each of the libraries in its mental health facilities. The FY17 proposal will be fully developed in spring 2016.

## **Missouri State Library: Overarching Programs**

### **Library Development**

***CONTINUING***

**Proposed Budget: \$45,685**

The Missouri State Library provides information and assistance to libraries on expanding services for learning and access to information and educational resources, on using technologies to expand electronic networks and provide electronic and other linkages among all types of libraries, on developing public and private partnerships, and on providing library services for persons meeting the LSTA criteria for targeted assistance. In addition to consultant services, staff manages statewide projects, prepares publications, offers statistical support, and maintains a collection of materials for consultation and loan to local libraries via Missouri State Library Reference Services.

This amount is appropriated through the General Assembly. This includes funds used for the management and delivery of the LSTA grant program.

### **Five Year Plan Evaluation and Development of LSTA Plan for 2018-2022**

***RECURRING***

**Proposed Budget: \$20,000**

The purpose of this project is to evaluate the Missouri State Library's progress in meeting the priorities and goals of the LSTA FY2013-2017 Five Year Plan and development of Missouri's LSTA Plan for 2018-2022. Guidance and assistance from the Institute of Museum and Library Services regarding the five year evaluation should be received in State FY2016. Funds would cover costs for any services required for the evaluation, plan development and possible travel or other costs for meetings. The LSTA FY2013-2017 Five-Year Evaluation is due March 30, 2017 and the LSTA Five-Year 2018-2022 Plan is due June 30, 2017.

### **Statewide Projects**

***CONTINUING***

Missouri State Library administered projects, contracts or subgrants to promote standards and best practices and to encourage and support networking, collaboration and resource sharing among Missouri's libraries. Projects must meet goals and objectives of the Missouri State Library LSTA Program Five-Year Plan for Years 2013-2017. Applications are available on an inquiry or invitation basis as funds allow.

## Competitive Grants

### Missouri State Library Goal 1: Building and Sustaining Information Resources

#### LSTA Priority 1: Expand Services for Learning and Access to Information

#### LSTA Priority 2: Establish or Enhance Electronic Access to Library and Information Services

##### **Digital Imaging**

**CONTINUING**

**Proposed Budget: \$232,000**

These grants provide funding for scanning, cataloging and Web delivery of significant historical and cultural materials in Missouri and in Missouri history. Grants are restricted to projects involving original source materials. Priorities include importance of the collection including demonstration of patron demand; institutions doing their first project; demonstration projects that document best practices; projects involving underserved partners; and institutions adding metadata to existing digital collections. High priority is given to multi-partner projects on topics of statewide interest including World War 1, which is overseen by the Springfield-Greene County Library District; and newspaper digitization, which is overseen by the State Historical Society of Missouri. Proposals were due in February 2016 for projects beginning May 2016.

##### **Technology Ladder**

**CONTINUING**

**Proposed Budget: \$235,000**

This grant provides a comprehensive technology enhancement grant that will help public libraries improve their computer security, network performance, and provide reasonable computer resources to their patrons. Proposals were due in February 2016 for projects beginning May 2016.

##### **Technology Mini Grant**

**CONTINUING**

**Proposed Budget: \$255,259**

This grant is open to qualified public libraries needing to replace, upgrade or add new equipment or software. Projects should be of short duration including compilation of adequate evaluation measures. Proposals are due July 2016 for projects beginning September 2016 and January 2017 for projects beginning March 2017.

## **Missouri State Library Goal 2: Targeting Library and Information Services**

### **LSTA Priority 5: Supporting an Educated and Informed Citizenry**

### **LSTA Priority 6: Serving the Underserved**

#### **Racing to Read**

**Proposed Budget: \$158,900**

**CONTINUING**

Racing to Read grants provide funds to establish, develop or improve public library early literacy services for children from birth to six years of age based on the knowledge and skills taught in the *Early Literacy Fundamentals* and *Racing to Read to Go* regional workshops and webinars. These programs are to strengthen and expand both quality and availability of library services to address early literacy needs in Missouri. Applications were due in February 2016 for projects beginning May 2016.

#### **Spotlight on Literacy**

**Proposed Budget: \$73,000**

**CONTINUING**

This grant program offers Missouri public libraries, academic libraries, and secondary or post-secondary school libraries the opportunity to serve patrons of all ages through programs that support an educated and informed citizenry. Programs may encourage reading, language skills development, academic improvement including GED instruction, job skills development, computer skills development, and health literacy skills development. Collaborative efforts to better serve low-literacy populations are strongly encouraged. Applications were due in February 2016 for projects beginning May 2016.

#### **Summer Library Program Grants**

**Proposed Budget: \$280,000**

**CONTINUING**

Summer Library Program grants provide libraries with additional funds to expand opportunities for people of all ages to improve their reading skills, enrich summer learning experiences, and enhance opportunities for libraries to reach underserved summer populations. Applications are due in November 2016 for projects beginning February 2017.

#### **Collections Grants**

**Proposed Budget: \$75,000**

**CONTINUING**

Collection grants provide funds to public and school libraries to strengthen print, audio and digital collections. Applications are due in September 2016 for projects beginning November 2016.

**Missouri State Library Goal 3: Strengthening the Library Workforce**

**LSTA Priority 3: Provide Training and Professional Development for the Library Workforce and Leadership**

**Show-Me Steps to Continuing Education**  
**Proposed Budget: \$45,000**

***CONTINUING***

These grants provide financial assistance for Missouri library personnel and public library trustees to participate in continuing education and training opportunities, with some match of funds by local institutions. Trainings can be for individuals or groups. Applications are accepted throughout the year.

## **Missouri State Library: Overarching Sub-Grant Programs**

**Proposed Budget: \$11,744**

### **Library Service Improvement Grants**

Libraries may develop project proposals to address local library service needs that meet LSTA priorities, Missouri State Library goals, and are in accord with the Missouri State Library LSTA Program Five-Year Plan for Years 2013-2017, but are out of scope with current competitive grant programs. Applications were due in February 2016 for projects to start in May 2016.

### **Other**

As funds allow, the State Library may also develop other competitive sub-grant programs to address timely library service needs that meet LSTA priorities and Missouri State Library goals, and are in accord with the Missouri State Library LSTA Program Five-Year Plan for Years 2013-2017.

<b>ESTIMATED: LSTA SFY2017 Funding Allotment: \$2,925,990</b>		
<b>PROGRAM</b>	<b>BUDGET</b>	<b>PROJECT BREAKOUT</b>
<b>BASIC TECHNOLOGY AND ONLINE RESOURCES</b>	<b>\$490,259.00</b>	
Technology Ladder		\$235,000.00
Technology Mini Grant		\$255,259.00
<b>CONTINUING EDUCATION</b>	<b>\$181,400.00</b>	
<b><i>Library Skills Trainings</i></b>		<b><i>\$47,130.00</i></b>
Leading Change		\$10,560.00
New Directors		\$3,300.00
Using Data		\$3,300.00
Doing More with Less		\$3,300.00
Library Law		\$3,300.00
Veteran Services		\$3,300.00
Community Workforce Development		\$3,300.00
Reaching and Serving New Adults		\$3,300.00
Social Media		\$3,300.00
Webcast Training Services		\$10,170.00
<b><i>Literacy Skills Trainings</i></b>		<b><i>\$39,270.00</i></b>
Teen Services		\$3,300.00
Digital Story Times		\$10,535.00
Primer on Adult Literacy Services		\$3,300.00
Summer Reading Programs for Children and Teens		\$10,535.00
Summer Reading Programs for Adults		\$3,300.00
STEM/STEAM for Children		\$8,300.00
<b><i>Other</i></b>		<b><i>\$95,000.00</i></b>
Academic Libraries Conference		\$30,000.00
Serving Underserved Populations-Department of Mental Health		\$20,000.00
Show Me Steps to Career Development		\$45,000.00
<b>LIBRARY PROGRAMS</b>	<b>\$86,744.00</b>	
Collection Development Grants		\$75,000.00
Library Service Improvement Grants		\$11,744.00
<b>LITERACY AND FOREIGN LANGUAGE</b>	<b>\$663,000.00</b>	
Racing to Read Grants and Early Literacy Program Support		\$310,000.00
Spotlight on Literacy		\$73,000.00
Summer Library Program Grants		\$280,000.00
<b>STATEWIDE DIGITIZATION</b>	<b>\$290,884.00</b>	
Digital Imaging		\$232,000.00
Missouri Digital Heritage		\$58,884.00
<b>SHOW-ME THE WORLD</b>	<b>\$820,853.00</b>	
Courier Service		\$241,224.00
Integrated Library System Consortium		\$184,421.00
Statewide Show Me the World		\$380,208.00
Retrospective Conversion		\$15,000.00
<b>LSTA FIVE YEAR PLANS</b>		
LSTA FY2013-2017 Five Year Plan Evaluation	<b>\$20,000.00</b>	\$20,000.00

<b>WOLFNER LIBRARY</b>	<b>\$356,000.00</b>	
P/S Facilities		\$312,000.00
E/E		\$44,000.00
<b>LIBRARY DEVELOPMENT</b>		
E/E	<b>\$45,685.00</b>	
LSTA Administration including review committees and Secretary's Council on Library Development		\$5,000.00
LD Statewide Digitization Services Development		\$1,000.00
LD Library Skills Development		\$26,500.00
LD Literacy Programs Development		\$1,000.00
LD Operation Support		\$9,685.00
LD Technology Services Development		\$1,500.00
LD Youth Services Development		\$1,000.00
<b>TOTAL</b>	<b>\$2,954,825.00</b>	\$2,954,825.00

## **The Grant Application Process**

### **1. Identify the need**

Describe the problem so you can focus on the desired outcome. Envision the solution and what needs to be accomplished to create the desired result.

### **2. Identify potential funding resources**

If seeking Library Services and Technology funding from the Missouri State Library, what grant application best fits the scope of the project? Occasionally you may need to apply for two separate grants to bring the project to complete fruition.

Find out if a local match is required. If so, what local resource(s) will you use? Local match can be local tax dollars or private donation, from a local or other funding source. Do not use other state or federal funds such as state aid or equalization dollars as the local match.

### **3. Identify applicable regulations and statutes**

Federal regulations provide the guidelines that federal agencies and their sub-grantees must adhere to in administering federal programs. The Office of Management and Budget has issued 2 CFR 200, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Rewards*. The Uniform Guidance streamlines and centralizes eight formerly separate sets of administrative, cost, and audit guidance documents into one consolidated set of guidance. 2 CFR 200 took effect December 26, 2014 and applies to IMLS awards made on or after that date.

With respect to state and local statutes and regulations, the important issue to consider is whether they differ from those of the federal government. Federal regulations must always be followed. However, if state or local statutes or regulations are more restrictive than the federal statutes and regulations on certain issues, e.g. on allowable cost issues, then they supersede the federal statutes and regulations on those specific issues.

### **4. Plan well**

Careful planning is essential to the success of any grant project. This involves breaking your project into manageable components, including the activities, the evaluation approach, and the schedule and resources you will need to follow to complete the project successfully and on time.

**5. Write the grant and send it in ON TIME****6. Grant review**

The evaluation process is quite rigorous and consists of five stages. At any point during the review, the State Library may return to you with questions. The better researched and written the application, the fewer questions will be asked and the faster the process will go. The five stages are:

1. LSTA Grants Officer
2. Library Development Consultants and/or Review Committee
3. Library Development Director
4. Missouri State Librarian
5. Secretary of State Executive Staff

**7. Notification of grant award decision**

All attempts will be made to have applicants notified of the grant award decisions ten days prior to the start of the grant period. Applicants with approved grants will be notified by e-mail and through an award packet sent to the Library and Project Directors. Applicants with denied grants will be notified via a letter sent to the Library and Project Directors.

## **LSTA Comment and Complaint Process**

The first line of communication regarding comments and complaints about the Missouri State Library's LSTA Grant Program and its management are to be directed to the LSTA Grants Officer. The LSTA Grants Officer confers with Library Development and IMLS staff as needed. The LSTA Grants Officer will respond as appropriate to the situation, either through a phone call, an e-mail message or a formal letter.

If the person making the comment or complaint is not satisfied with the information provided by the LSTA Grants Officer, the comment or complaint will be sent to the Director of Library Development who will respond as appropriate to the situation.

If the person making the comment or complaint is not satisfied with the information provided by the Director of Library Development, the comment or complaint will be sent to the State Librarian who will respond as appropriate to the situation.

If the person making the comment or complaint is not satisfied with the information provided by the State Librarian, the comment or complaint will be sent to the Secretary of State Executive Deputy who will respond as appropriate to the situation. The Secretary of State Executive Deputy is the person of last resort and decisions are considered final.

## **LSTA Subgrantee Complaint or Reconsideration of Funding Process**

Subgrantees will be notified in a written letter about any variations to the budget between what was requested and what was awarded. Denial letters will include specific reasons as to why a grant application is denied. Both the letter of award with budget adjustments and the letter of denial contain a statement to address questions or concerns to the LSTA Grants Officer via e-mail or phone calls. The LSTA Grants Officer confers with Library Development and IMLS staff as needed. The LSTA Grants Officer will respond as appropriate to the situation, either through a phone call, an e-mail message or a formal letter.

If the person with a complaint or reconsideration of funding request is not satisfied with the information provided by the LSTA Grants Officer, the complaint or reconsideration of funding request will be sent to the Director of Library Development who will respond as appropriate to the situation.

If the person with a complaint or reconsideration of funding request is not satisfied with the information provided by the Director of Library Development, the complaint or reconsideration of funding request will be sent to the State Librarian who will respond as appropriate to the situation.

If the person with a complaint or reconsideration of funding request is not satisfied with the information provided by the State Librarian, the complaint or reconsideration of funding request will be sent to the Secretary of State Executive Deputy who will respond as appropriate to the

situation. The Secretary of State Executive Deputy is the person of last resort and decisions are considered final.

## Common Grant Terminology

1. **Advance** – requesting funds from the State Library before you have actually spent those dollars. First payments are generally advance payments for project startup and continuation costs. These funds should be encumbered before requesting payment.
2. **Balance** – available funds, unobligated funds
3. **Bid** – a price offer; formal or informal process
4. **Certification** – assurance that what is stated is true
5. **Certifying Authority** - authorized official who can sign official paperwork to acknowledge that the application and reports submitted are accurate.
6. **Cost Analysis** – performed by the library before the application is submitted to the State Library. It shows the current market value of an item, set of items or service.
7. **Encumbrance** – an obligation has been made, but not yet paid for
8. **Obligations** – you have signed an agreement to make a purchase; orders have been placed; or contracts signed for services that require payment in the future
9. **Outcome** – changes in attitude, behaviors, knowledge, skills
10. **Outcome based evaluation** – Looks at the status of the situation before, during and after the project to determine the impact of the project on the community. Questions to consider: What do you hope to gain through the project? What will the successful program look like? What types of data do you need to collect to monitor the results? How will you gather that information? Generally utilizes quantitative and qualitative measurements.
11. **Outlays/expenditures** – actual cash disbursements—payments
12. **Output** – evidence of service delivery. Generally quantifiable. Examples are number of patrons served, network reliability, number of sessions held, number of hours of an activity, etc.
13. **Procurement** – obtaining an item—generally through a purchase
14. **Reimbursement** – requesting payment from LSTA funds, for a service you have already paid for
15. **Results based management** - recognizes that a project is always a work in progress and that major or minor adjustments might be needed as the progress unfolds to have a greater impact on the community.
16. **Unexpended Balance** – the amount of money still to be spent

17. **Unobligated Balance** – money that is not committed within the project. This generally involves local funds or, when anticipated expenditures come in under budget, may be LSTA funds as well.

**Missouri State Library  
LSTA Grant Call Schedule State Fiscal Year 2017**

**Short Term Grants**

**Technology Mini Grant**

<b>Application Due</b> <b>July 1, 2016</b>	<b>Grant Cycle</b> <b>September 1, 2016 to March 31, 2017</b>
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**Report Due**

April 28, 2017

**Intermediate Term Grant**

**Summer Library Program**

<b>Application Due</b> <b>November 14, 2016</b>	<b>Grant Cycle</b> <b>February 1, 2017 to August 15, 2017</b>
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**Reports Due**

May 1, 2017

September 15, 2017

**Short Term Grants**

**Technology Mini Grant**

<b>Application Due</b> <b>January 6, 2017</b>	<b>Grant Cycle</b> <b>March 1, 2017 to August 15, 2017</b>
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**Report Due**

September 15, 2017

**Long Term Grants**

**Digital Imaging**

**Racing to Read**

**Spotlight on Literacy**

**Technology Ladder**

**Library Service Improvement**

<b>Application Due</b> <b>February 1, 2017</b>	<b>Grant Cycle</b> <b>May 1, 2017 to April 30, 2018</b>
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**Reports Due**

August 31, 2017

December 29, 2017

May 31, 2018

**Ongoing**

Show Me Steps to Career Development

Applications will be on the SOS Grants website at

Watch **Show Me Express** for grant calls and application overview training sessions.

Questions? Call Shay Young at 800-325-0131 or email her at [shay.young@sos.mo.gov](mailto:shay.young@sos.mo.gov).

	TYPES OF GRANTS	TYPE OF LIBRARY			
LIBRARY NEED	STRENGTHENING SERVICE THROUGH TECHNOLOGY	ACADEMIC	PUBLIC	SCHOOL	SPECIAL
<b>LSTA PRIORITIES</b> <i>Expand Services for Learning and Access to Information</i> <i>Establish or Enhance Electronic Access to Library and Information Services</i>		<b>MISSOURI STATE LIBRARY GOALS</b> <i>Building and Sustaining Information Resources</i>			
Technology needs including hardware, software and website design  <i>Long term projects</i>	<b>Technology Ladder</b> Open to qualified public libraries needing financial assistance for technology hardware, software and website development. Specifically, this application is designed to help libraries move up the technology ladder to a higher level of service. Projects may be intricate in nature and/or require a longer timeframe to provide solid evaluation measures. Websites are required to be ADA compliant, contain a translation link, and link to state resources. Certain projects may require libraries to plan maintenance and upgrades for sustainability. Minimum grant award is \$5,000; the maximum grant award is \$40,000		X		
Technology needs including hardware and software  <i>Short term projects</i>	<b>Technology Mini-Grant</b> Open to qualified public libraries needing to replace, upgrade or add new equipment or software. Projects should be of short duration including compilation of adequate evaluation measures. Minimum grant award is \$2,500; the maximum grant award is \$18,000.		X		

	TYPES OF GRANTS	TYPE OF LIBRARY			
LIBRARY NEED	STRENGTHENING SERVICE THROUGH TECHNOLOGY (CONTINUED)	ACADEMIC	PUBLIC	SCHOOL	SPECIAL
<b>LSTA PRIORITIES</b> <i>Expand Services for Learning and Access to Information</i> <i>Establish or Enhance Electronic Access to Library and Information Services</i>		<b>MISSOURI STATE LIBRARY GOALS</b> <i>Building and Sustaining Information Resources</i>			
Digitization of significant historical and cultural materials in Missouri	<b>Digital Imaging</b> These grants provide funding for scanning, cataloging and Web delivery of significant historical and cultural materials in Missouri and in Missouri history. Grants are restricted to projects involving original source materials. Priorities include institutions doing their first project; demonstration projects that document best practices; and institutions adding metadata to existing digital collections. The minimum grant award is \$5,000; the maximum grant award is \$75,000.	X	X	X	X

	TYPES OF GRANTS	TYPE OF LIBRARY			
LIBRARY NEED	STRENGTHENING SERVICE THROUGH TRAINING AND PLANNING	ACADEMIC	PUBLIC	SCHOOL	SPECIAL
<b>LSTA PRIORITIES</b> <i>Provide Training and Professional Development for the Library Workforce and Leadership</i>		<b>MISSOURI STATE LIBRARY GOALS</b> <i>Strengthening the Library Workforce</i>			
Training for individuals or groups	<b>Show Me Steps to Continuing Education Individual Training Events</b> Grants provide financial assistance for library staff and trustees to participate in continuing education and training opportunities when local funds cannot finance the entire cost. This is for a person to attend a conference or other training event outside of the library's district. Continuing education events must be pertinent to the operational or service needs of the applicant's library. For CE events for individuals, the maximum amount that may be requested is \$2,500; the minimum amount is \$500.	X	X	X	X
	<b>Show Me Steps to Continuing Education Group Training Events</b> Grants provide financial assistance for library staff and trustees to participate in continuing education and training opportunities when local funds cannot finance the entire cost. This is to bring a trainer to the library for a district, regional or statewide continuing education event. Continuing education events must be pertinent to the operational or service needs of the applicant's library. For CE events for groups, the maximum amount that may be requested is \$30,000; the minimum amount is \$500.	x	x	x	x

LIBRARY NEED	STRENGTHENING SERVICES FOR LIFELONG LEARNING	ACADEMIC	PUBLIC	SCHOOL	SPECIAL
<b>LSTA PRIORITIES</b> <i>Support an Educated and Informed Citizenry</i> <i>Serve the Underserved</i>		<b>MISSOURI STATE LIBRARY GOAL</b> <i>Targeting Library and Information Services</i>			
For early literacy services for children from birth to age six	<b>Racing to Read</b> This grant program provides funds to establish, develop or improve early literacy services for children from birth to age six. Funds are provided to conduct early literacy training programs for parents and caregivers, obtain resources for early-literacy resources for programs and services including technology, and provide opportunities to identify and collaborate with community partners. Minimum award is \$3,000; the maximum grant award is \$20,000.		X		
For programs targeting literacy efforts through high school accreditation support, homework help, language skills development, etc.	<b>Spotlight on Literacy</b> This grant program offers Missouri public libraries, academic libraries, and secondary or post-secondary school libraries the opportunity to serve patrons of all ages through programs that support an educated and informed citizenry. Programs may encourage reading, language skills development, academic improvement, job skills development, computer skills development, financial literacy and health skills development. Collaborative efforts to better serve low-literacy populations are strongly encouraged. Minimum grant award is \$2,500; the maximum grant award is \$10,000 per branch.	X	X	X	

LIBRARY NEED	STRENGTHENING SERVICES FOR LIFELONG LEARNING (CONTINUED)	ACADEMIC	PUBLIC	SCHOOL	SPECIAL
<b>LSTA PRIORITIES</b> <i>Support an Educated and Informed Citizenry</i> <i>Serve the Underserved</i>		<b>MISSOURI STATE LIBRARY GOAL</b> <i>Targeting Library and Information Services</i>			
Summer Library Programs for children, teens and adults	<b>Summer Library Program</b> Grants to expand opportunities for children, teens and adults to improve their reading skills; enrich summer learning experiences; and, enhance opportunities to reach underserved summer populations. The minimum grant award is \$2,500; the maximum grant award is \$20,000.		X	X	

	TYPES OF GRANTS	TYPE OF LIBRARY			
LIBRARY NEED	STRENGTHENING SERVICE THROUGH INNVOATION	ACADEMIC	PUBLIC	SCHOOL	SPECIAL
<b>LSTA PRIORITIES</b> <i>Expand Services for Learning and Access to Information</i> <i>Establish or Enhance Electronic Access to Library and Information Services</i> <i>Provide Training and Professional Development for the Library Workforce and Leadership</i> <i>Develop Partnerships</i> <i>Support an Educated and Informed Citizenry</i> <i>Serve the Underserved</i> <i>Develop Collaborations and Networks</i>		<b>MISSOURI STATE LIBRARY GOALS</b> <i>Building and Sustaining Information Resources</i> <i>Targeting Library and Information Services</i> <i>Strengthening the Library Workforce</i>			
For programs that meet LSTA Priorities and MOSL goals, but are not eligible under the previously listed competitive LSTA grant opportunities	<b>Library Service Improvement</b> This grant program offers Missouri public libraries, academic libraries, secondary or post-secondary school libraries, and special libraries the opportunity to address library service needs unique to their library that are outside the scope of current competitive LSTA grant programs. Priority will be given to projects that will establish a higher level of service or reach the unserved or underserved populations within the libraries service area. Minimum grant award is \$5,000; the maximum varies upon project scope and available funds.	X	X	X	X

## **Grant Application Requirements**

1. **Application Form:** Gives an overview of who is responsible for the project and what it entails. For the brief description of the project, if you had the reviewer's attention for only 60 seconds, how would you describe your proposal including its benefits?
2. **Program Narrative:** Includes
  - a. LSTA justification (LSTA priority and MOSL goal)
  - b. Background information and customer service benefit
  - c. Project implementation and maintenance
  - d. Project evaluation: How will you identify your baseline? What outputs do you need to gather? How will the library measure the effectiveness of this project in ways that record project outcomes such as changes in attitudes, gained knowledge, improved skills, conditions changed or status improved?
  - e. Publicity: includes letting the public know about the project and acknowledging IMLS funding
  - f. Other questions pertinent to the specific grant, such as cooperative activities, sustaining the project beyond the grant period, etc.
3. **Budget Details**
  - a. Budget worksheet (LSTA and local funds) – watch match requirements – creates a line item budget to submit with the budget narrative.
  - b. Budget narrative – describes and justifies all project costs listed on the budget worksheet. Include explanations for both federal and local funds.
  - c. Cost analysis for a service, item, or set of the same item totaling \$3,000 or more.
4. **Certifications and signatures**
  - Be sure the proper signatures are obtained and that the individuals sign in the correct place
  - In the absence of THE authorizing official, who else can sign documents of this nature?

### **A. Grant Application Certification and Signatures**

Part IV of the grant application is the Certifications and Signatures page.

Signatures of both the Library Director and the Authorizing Official are required, or the application will not be considered.

### **B. Quality Assurance Forms**

There are a variety of rules and regulations you are required to adhere to in order to insure program integrity, equal access, responsible use of funds, and compliance with federal and state regulations. These are:

- a. **Certifications Regarding: Nondiscrimination; Debarment and Suspension; Drug-Free Workplace; Federal Debt Status; Lobbying; and Trafficking in Persons**

Make special note of:

- Debarment and Suspension: The certification ensures that those persons working on federally funded projects have not been debarred, suspended, or declared ineligible from receiving federal funds, convicted of or had a civil judgment rendered against them for fraud, embezzlement, theft, false statements, within the preceding three-year period, or had one or more public transactions terminated for cause or default.
- Drug-Free Workplace: Grantees must have a written policy that informs employees that the unlawful possession, distribution, or manufacture of a controlled substance in the workplace is not allowed. The policy must specify what the penalties are for violations. Grantees must have a drug-free awareness program.
- Federal Debt Status: Grantee cannot be delinquent in the repayment of any Federal Debt
- Lobbying: You cannot use these funds to influence federal agency officials or congress, State, or local election, referendum, initiative, or similar procedure.
- Trafficking in Persons: The grant, contract or cooperative agreement will be terminated if the grantee, subgrantee, contractor, or subcontractor engages in trafficking in persons, procures a commercial sex act or uses forced labor.

**b. The Assurances – Non Construction Programs.** Make special note of:

- Equal Access: You cannot deny service or benefit on the basis of race, color, national origin, age, sex, or disability. Note there is a difference between targeting and exclusion.
- Responsible Use of Funds: Ensures proper planning, management and completion of the project including filing complete interim and final reports with the State Library in a timely manner.

**c. Internet Safety Certifications for Applicant Public Libraries, Public Elementary and Secondary School Libraries, and Consortia with Public and/or Public School Libraries**

- Assures that libraries using LSTA funds to purchase computers used to access the Internet, or to pay for direct costs associated with accessing the Internet, adhere to Section 9134(f)(1) of the Library Services and Technology Act (20 USC Chapter 72) in that they have in place a policy of Internet safety for minors that includes the operation

of a technology protection measure that protects children from computer access to visual depictions that are obscene; child pornography; or harmful to minors; and that this policy is enforced.

**d. Business Entity Certification**

- Grants administered through the Missouri State Library come under the jurisdiction of the Work Authorization Program [RSMO 285.530 (2)]. In brief, program regulations indicate that any entity receiving a grant award in excess of \$5,000 must:

- 1) Enroll and participate in the E-Verify federal work authorization program

**AND**

- 2) File a Business Entity Certification including the electronic signature page of the E-Verify Memorandum of Understanding you received when you enrolled in the E-Verify program, and Work Authorization affidavit with the State of Missouri stating it does not knowingly employ any person who is an unauthorized alien in connection with the contracted services.

## FREQUENTLY ASKED QUESTIONS

### 1. What is a DUNS number?

Dun & Bradstreet (D&B) provides a D-U-N-S number (Data Universal Numbering System), a unique nine digit identification number, for each physical location of a business (library). To see if the library already has a DUNS number go to <http://fedgov.dnb.com/webform>.

### 2. Why is a DUNS number required?

Starting in 2011 IMLS (Institute of Museum and Library Services) requires all LSTA prime grant recipients (the State Library) to report information on federal sub-grant awards. This requirement comes from the Federal Funding Accountability and Transparency Act (FFATA). The Act is intended to empower every American with the ability to hold the government accountable for each spending decision.

### 3. How to request a DUNS number?

To request a new DUNS number online, go to the Dun & Bradstreet website at <http://fedgov.dnb.com/webform>. A DUNS number can also be requested by calling 1-866-705-5711.

### 4. What is the difference between Personnel and Contractual Services?

Personnel costs involve people who are part of the library's staff. Contractual Services are businesses or individuals who will do work for the library but are not considered library staff.

### 5. Who is the Certifying Authority on grant applications for public libraries?

This individual must have the authority to sign legal binding agreements. A signature and date on these lines indicate that the library board understands and approves the intent of the grant. Typically we see the signature of an officer from the Board, most frequently the Board President.

### 6. What is an indirect cost rate and what rate should my institute apply?

Indirect costs are those costs incurred for a common or joint purpose benefitting more than one cost objective, and not readily assignable to a single project. Costs may be facilities or administrative in nature. Per 2 CFR 200.414 and guidance from the Institute of Museum and Library Services, sub-grantees may charge administrative or indirect rates to LSTA grants and contracts issued by the Missouri State Library as follows:

- a. The Federal Agency Acceptance of Negotiated Indirect Cost Rates will be accepted when supported by official documentation of the accepted negotiated rate
- b. Any non-Federal entity that has never received a negotiated indirect cost rate may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC)

MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts **up to the first \$25,000.** MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000.

- c. A contractor or sub-grantee may decline to receive payments for indirect costs.

## **7. Who can sign the Certifications and Assurances forms?**

This individual must have the authority to sign legal binding agreements on behalf of the library. A signature and date on these lines indicate that the library approves the intent of the grant, will allow the designated project director or CE participant to oversee the project or attend the training, and can commit matching funds to the project when necessary. Typically, we see the signature of the Library Director.

## **7. Who can sign forms in the absence of the Library Director?**

In the absence of the Library Director, the individual who has been given the delegation of authority to commit the library to a legal binding agreement on behalf of the library can sign forms. Generally, delegation of authority should be documented in written policies and procedures which are available upon request.

## **For applicants requesting funds in excess of \$5,000**

## **8. How to find out if the library's e-verify documentation is up-to-date with the Office of Administration/Department of Purchasing and Materials Management (OA/DPMM)?**

To find out if the documentation is current, check out the OA/DPMM *Work Authorization Affidavits and E-Verify Documentation Received* list at <http://oa.mo.gov/sites/default/files/affidavits.pdf> Instructions on the work authorization annual renewal process are at <http://oa.mo.gov/sites/default/files/rsmo.doc>. **The annual renewal affidavit should be sent to OA/DPMM,** not the Missouri State Library.

## **9. If the e-verify documentation is up-to-date, what box is used on the Business Entity Certification form?**

Please complete and submit Box C of the Business Entity Certification form.

## **10. If the library has never completed e-verify documentation for OA/DPMM, what needs to be done?**

- a. Please complete and submit Box B of the Business Entity Certification form
- b. Enroll in the e-verify program at [http://www.dhs.gov/files/programs/gc\\_1185221678150.shtm](http://www.dhs.gov/files/programs/gc_1185221678150.shtm)
- c. Submit the electronic signature page from the e-verify memorandum of understanding received at completion of the e-verify enrollment
- d. Submit the completed and notarized Affidavit of Work Authorization

***The Missouri State Library promotes the development and improvement of library services throughout the state, provides direct library and information service in support of the executive and legislative branches of Missouri State government and strives to ensure all Missourians have equal access to library services.***  
***--Missouri State Library Mission Statement***

The Library Services and Technology Act (LSTA), the major federal grant program for libraries, is provided through the Institute of Museum and Library Services (IMLS). It is a state-based program with a mandate:

- to use technology to bring information to people in innovative and effective ways
- to assure that library service is accessible to all, especially those who have difficulty using the library
- that emphasizes public libraries, but encourages interlibrary cooperation and partnerships with all types of libraries
- that emphasizes accountability and evaluation for all funded projects

IMLS has identified eight priorities for the use of Library and Services Technology Acts (LSTA) funds.

#### **LSTA Priorities**

1. **Expand Services for Learning and Access to Information:** Expanding services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages in order to support such individuals' needs for education, life-long learning, workforce development, and digital literacy skills
2. **Establish or Enhance Electronic Access to Library and Information Services:** Establishing or enhancing electronic and other linkages and improved coordination among and between libraries and entities, for the purpose of improving the quality of and access to library and information services
3. **Provide Training and Professional Development for the Library Workforce and Leadership:** Providing training and professional development, including continuing education, to enhance the skills of the current library workforce and leadership, and advance the delivery of library and information services; and enhancing efforts to recruit future professionals to the field of library and information services
4. **Develop Partnerships:** Developing public and private partnerships with other agencies and community-based organizations
5. **Support an Educated and Informed Citizenry:** Targeting library services to individuals of diverse geographic, cultural and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills
6. **Serve the Underserved:** Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with income below the poverty line
7. **Develop Collaborations and Networks:** Developing library services that provide all users access to information through local, State, regional, national, and international collaborations and networks

8. **Other LSTA Purposes:** Carrying out other activities consistent with the purposes [of LSTA], as described in the State library administrative agency's plan.

The Missouri State Library administers the grant program to all types of libraries in Missouri based on the purposes and priorities of LSTA and developed from the goals and outcomes identified in *Missouri State Library LSTA Program: Five-Year Plan for Years 2013 to 2017*.

### **Missouri State Library LSTA Five-Year Plan Goals**

1. **Building and Sustaining Information Resources:** Missourians have expanded services for learning and equity of access to quality library resources, services and technology to support individuals' needs for education, lifelong learning, and digital literacy skills.
2. **Targeting Library and Information Services:** Strengthen and expand both quality and availability of library services appropriate to meet the educational, cultural, intellectual, workforce, personal and social development needs of Missourians, particularly persons with difficulty using the library and underserved rural and urban areas.
3. **Strengthening the Library Workforce:** Current library workforce and leadership possess enhanced skills to advance the effective delivery of library and information services.

In evaluating the needs of the Missouri library community in light of the LSTA purposes and priorities, the Missouri State Library submitted a plan to IMLS which would provide funding for competitive grant opportunities. Libraries seeking grants will be asked to identify which LSTA priority and Missouri State Library goal are addressed through the project and give specific examples of how the project will meet its identified need.

### **LSTA GRANT APPLICATION GENERAL INSTRUCTIONS**

- Applications should be typed. Narrative portions should be single-sided and double-spaced on 8 ½ X 11 white paper. Do not use binders, folders, notebooks, or staples.
- The application will be photocopied for grant application review. Fill in the library's name at the top of each sheet. Number the pages. The application form and instructions may be photocopied as needed.
- Answer all questions. Failure to give the required information may eliminate an application from consideration.
- Double-check all math in the budget portion.
- Appropriate signatures, titles and dates must be included on the application, certifications, and assurances forms or the application will be ineligible for consideration.
- Proofread the proposal. Correct spelling, grammar, and typing mistakes before submission.
- Application must remain single-sided. Do not photocopy the application front and back.
- Submit the original completed application, certifications and assurances forms.

## LSTA GRANT APPLICATION ITEMIZED INSTRUCTIONS

### Part I: Application Form

- *Project number:* Leave blank.
- *Name of library:* Give the official, legal name of the library.
- *Federal Tax I.D. Number or Missouri Vendor Number if different:* Same as Federal Employee Identification Number (FEIN) or Tax Identification Number (TIN). Make sure this is the Missouri Vendor ID number under which payments should be made. If unsure of the identification number, contact the Missouri State Library for assistance.
- *DUNS Number:* All non-Federal entities are required to have a Dun and Bradstreet Universal Numbering System (DUNS) Number in order to apply for, receive, and report on a Federal award. This unique nine-digit sequence is recognized as the universal standard for identifying and keeping track of organizations. It is used by the government to track how federal funds are dispersed. You can register for a DUNS number online at <http://fedgov.dnb.com/webform>.
- *Address:* Give the physical and, if different, the mailing location of the library.
- *City, County, Zip Plus Four Code:* Give the city, county and zip+4 code of the library
- *Library Director:* Give the name of the director of the library or library system.
- *Library Director E-Mail Address and Phone Number:* Give e-mail address and phone number of the Library Director
- *Project Director or Continuing Education (CE) Participant:* Give the name of person who will oversee the project and serve as a contact for reports or the person who will be attending the continuing education event.
- *Project Director/CE Participant E-Mail Address and Phone Number:* Give e-mail address and phone number of the Project Director or CE Participant.
- *Project Title or CE Activity:* Provide a brief title for the project, program or continuing education activity
- *Total Library Budget:* Provide the library's total budget including personnel, facilities management, collection and other expenditures
- *Continuing Education Budget:* List the amount of funds reserved in the budget for continuing education activities for library staff
- *Staff Size:* Provide the size/number of staff in paid full-time equivalent
- *CE Activity Date(s) and Location:* Provide the date(s) and location of the CE event.
- *Additional participating agencies or institutions in the project:* Give the name of other entities partnering with the library for this project.
- *Total population of library's legal service area:* Using the latest available census figures, give the population of the legal service area for all participating agencies.
- *Estimated number of continuing education attendees, program participants or people who will be served by this project:* Give the number of people anticipated to benefit from the project or in the instance of a continuing education or program activity for a group, the anticipated number of people who will attend the event(s)
- *LSTA Funds Requested:* Show the total amount of LSTA grant funds being requested. Round down to the nearest dollar.
- *Local Match:* Show the total amount of local funds to be used for the project. Round to the nearest dollar.

- *Project or CE Description:* Provide a concise description of the project or CE activity, not to exceed 250 words and include the desired outcomes or knowledge to be gained.
  - In one or two sentences state the problem
  - In one or two sentences identify the goal of the project, what is hoped to be achieved. It should explain the direct benefit to the individual and/or community
  - In one or two sentences identify the solution, what will be done to solve the problem
  - The remainder of the proposal will provide the details

## **Part II: Program Narrative**

This is the most important part of the application. Attach additional sheets with responses. Organize the narrative using the numbers and headings shown in the application. Type the library's name in the upper right-hand corner of each additional sheet. Add page numbers. Do not use binders, folders, notebooks, or staples. Type and double-space.

Paperclip any support materials to the back of the application following the signature page. If the library is working with a community partner, attach a letter explaining the project resources provided by that partner. A letter must be included for each partner.

## **Part III: Budget Worksheet and Budget Narrative**

Fill in the budget worksheet provided with the application to create a line-item budget to be submitted with the budget narrative. Round all figures to the nearest whole dollar. Check all math. The amounts should match the figures provided on the budget summary estimates on page one of the application.

Provide a budget narrative explaining all anticipated project costs listed on the budget worksheet. Requests for speaker/presenter costs must include fees, including travel expenses. Requests for staff costs must include justification for additional staff hours, the rate at which staff will be paid, and the total number of hours staff will work. Be sure LSTA funded items are fully justified and project specific. Budget categories and descriptions are provided below. Note that grants will vary as to the budget categories that will be eligible for funding as well as local match requirements.

<b>BUDGET CATEGORY</b>	<b>DESCRIPTION</b>
Equipment	Items with a single unit cost of \$5,000. 25% minimum local match required. 50% local match for items with a per unit cost of \$10,000 or higher. The description should include types and quantities of equipment to be acquired.
Technology and Software	Hardware such as computers, printers, whiteboards; and software such as print/time management or office production. 25% minimum local match required. Video gaming consoles and accessories are eligible only for public libraries and have a maximum LSTA funding of \$500 and require a 50%, dollar-for-dollar match.

Furniture	Desks, chairs, tables, etc. essential to the delivery of services to meet the <b><i>accessibility needs</i></b> of special populations
Consultant Fees	Expenses related to acquiring the services of an outside consultant for the management, oversight and administration of the LSTA project. Costs may include consultant fees, travel, lodging, and support services hired directly by the consultant. The narrative should include the consultant(s) name if known and area(s) of expertise.
Personnel including salary, wages, and benefits	Salaries and benefits for additional library staff or additional staff hours for existing, part-time staff.
Services	List services provided by a third-party contractor or vendor. Examples of services include training providers, program presenters, and media costs including magazines, newspapers, radio, television and online advertisements.
Supplies/Materials	Consumable items used during the project. Paper, art materials, toner, etc. Also includes manuals or workbooks needed to plan and implement projects or for Web-based CE activities.. Collection development purchases are also eligible and may require a dollar-for-dollar match. Resources related to promotional efforts such as paper and toner for flyers, brochures and information cards printed in-house are also budgeted in this category.
Travel	Mileage, lodging, airfare, meals, taxi, shuttle, etc. Mileage may be estimated at \$0.37per mile. Meal costs generally must be within the State of Missouri Meals Per Diem rate. (See <a href="http://content.oa.mo.gov/accounting/state-employees/travel-portal-information/state-meals-diem">http://content.oa.mo.gov/accounting/state-employees/travel-portal-information/state-meals-diem</a> ) Lodging costs generally must be within the Domestic Per Diem Rates Guidelines (CONUS) established by the United States General Services Administration: <a href="http://www.gsa.gov/perdiem">www.gsa.gov/perdiem</a> .
Continuing Education for Individual Staff Member	Workshop or conference registration fees
Other	Items that do not fit into any of the above categories but are necessary to bring the project to successful completion. These items are typically funded locally. Examples include refreshments, prizes or incentives.

Indirect Costs	Those costs incurred for a common or joint purpose benefiting more than one cost objective, and not readily assignable to a single project. Costs may be facilities or administrative in nature. See Clarifications on Allowable Costs for further information.
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#### **Part IV—Certification and Signatures**

*Signature of CE Participant (if applicable):* Used if the grant application is for an individual continuing education participant. **Use blue ink.**

*Signature of Library Director:* The application must be signed by the administrative head of the library, i.e., the library director, or other administrator, **in blue ink.**

*Signature of Library Board President or Authorizing Authority:* The library board president or other authorizing authority must sign the application form, **in blue ink.** This individual must have the authority to sign legal binding agreements. A signature and date on these lines indicate that the library board, school, or academic institution understands and approves the intent of the grant and will allow the designated project director or CE participant to oversee the project or attend the training.

*Signature of School Principal or Superintendent (school library applicants):* The school principal or superintendent must sign the application form, **in blue ink.** This individual must have the authority to sign legal binding agreements. A signature and date on these lines indicate that the school understands and approves the intent of the grant and will allow the designated project director or CE participant to oversee the project or attend the training.

#### **Risk Assessment Review**

Under the Uniform Guidance 2 CFR 200.331, the Missouri State library must evaluate each subrecipient's risk of noncompliance with Federal statutes, regulations, and the terms and conditions of the subaward for purposes of determining the appropriate subrecipient monitoring. The following rubric will be used to assess each subrecipient's risk. Use this rubric to verify that you are in compliance with the Federal statutes, regulations, and the terms and conditions of the subaward.

**Risk Level**

	Criteria	Low Risk =1 pt	Moderate Risk =2 pts	High Risk = 3 pts	Score
* 1	Size of the award - funding amount - Over \$25,000.00 = high risk, \$5,000.00 - \$24,999.99 = moderate risk, under \$5,000 .00 = low risk				0
* 2	Complexity of the project - a lot of deliverables and/or strong deadlines, research or IT projects, high visibility projects = high risk, previously listed factors of moderate complexity = moderate risk, very little complexity = low risk				0
* 3	Library Director/Project Director Experience – Directors have ample experience meeting the objectives = low risk, new Directors have sufficient experience meeting the objectives or may have no prior experience if complexity is not an issue = moderate risk, new Directors with no prior experience if complexity is an issue or continuing grantee that has had problems meeting program goals/objectives = high risk				0
4	Past history of performance - Institution met all prior program objectives specified in the grant agreement= low risk, Institution met most prior program objectives specified in the grant agreement = moderate risk, Institution had difficulty meeting most of the program objectives or there were significant issues= high risk				0
5	Audit - The most recent audit shows there are no significant unresolved audit findings = low risk, the most recent audit shows there were minor audit findings with pending corrective action = moderate risk, Institution has not had an audit or there are significant audit findings with pending corrective action = high risk				0
6	Reporting and payment requests - almost always submitted timely and are accurate = low risk, are frequently late and/or contain some errors = moderate risk, are frequently late and/or contain significant errors and/or omissions = high risk				0
7	Other concerns, examples include, but are not limited to staff turnover, activities allowed/disallowed, issues with allowable costs, match requirements, any other concerns pointing to irregularity - document and justify score, 1 = no concerns, 2 = minor concerns, 3= significant concerns				0
	Risk assessment: Choose an item. Low=7 to 12, Moderate=13-15, High=16+				0

## Application Review

The following checklist will be used to determine if the grant application meets the criteria required for the grant to be awarded. Use this as a check to verify that you are submitting a qualified application.

Criterion	Comments	Score 1-10 1-Low 10-High
Project address the identified need(s)		
Project elements comply with guidelines		
Application demonstrates a strong project plan with a manageable timeline		
Appropriate and proactive promotional strategies. ( Not applicable to Show Me Steps grants)		
Evaluation methodology provides strong project impact and measures		
Costs are allowable		
Budget detailed and justified		
Other comments affecting funding recommendation		
Priority recommendation Low=do not add points Medium = add five points High=add 10 points		
<b>Point Total</b>		

## Definitions

A **public library** is a library established and maintained under the provisions of the library laws or other laws of the state related to libraries, primarily supported by public funds and designed to serve the general public.

A public elementary school or secondary **school library** is a library controlled and operated by publicly supported elementary or secondary schools, and designated to serve faculty and students of that school.

An **academic library** is a library which is controlled and operated by a two (2) or four (4) year college or university, either publicly supported or private, and which is designated primarily to serve faculty and students of that college or university.

A **special library** is a library established by an organization and designed to serve the special needs of its employees or clientele. A special library must have an appropriately trained librarian, an organized collection, a minimum of 20 hours of service per week, with some opportunity allowed for service to the public or a strong commitment to resource sharing. They include both private libraries and publicly funded libraries, such as those serving mental health facilities, correctional institutions, and government agencies.

A **library consortium** is any local, statewide, regional, interstate, or international cooperative association of library entities which provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such library entities.

## Clarifications on Allowable Costs

**General Purposes:** The State Library receives funds for this program through the Library Services and Technology Act (LSTA) as administered by the Institute for Museum and Library Services (IMLS). IMLS does not allow the State Library to use LSTA funds in support of library management activities including leadership development, staff management, fundraising, advocacy, general marketing, or library design, redesign, space planning and construction.

**Advertising:** Advertising media includes magazines, newspapers, radio and television, direct mail, exhibits, bid announcements, electronic or computer transmittals, etc. Eligible as long as funds are used to promote the specific program detailed in the grant application and not the library in general.

**Indirect Cost:** These costs, often are referred to as “administrative” or “overhead” costs. Typical examples of indirect costs are general telephone service, postage, office supplies, office space expenses, and administrative or financial operations for an entire organization. Subgrantees have the following options regarding charging indirect costs to the LSTA grant:

1. The Federal Agency Acceptance of Negotiated Indirect Cost Rates will be accepted when supported by official documentation of the accepted negotiated rate

2. Any non-Federal entity that has never received a negotiated indirect cost rate may elect to charge a de minimis rate of 10% of modified total direct costs (MTDC)

MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward and subcontract in excess of \$25,000.

3. A contractor or subgrantee may decline to receive payments for administrative or indirect costs.

**Public Relations:** Specific expenses involved in a project to inform the public or the press about the specific project. Public relations costs, such as brochures, bags and bookmarks, promoting a specific project are allowable. The items should provide concrete information about the program such as gives name and date of the program, specifies targeted audience, how to register, etc. Unallowable items are those that give a general message such as “come to the library and read...we have good books.” Also ineligible are costs associated with awards, models, gifts, and souvenirs even if they are specific to the program.

**Promotional Items:** To be eligible as a supply, the items must clearly be educational and/or informational in nature. The context of the item is paramount. Applicants should be able to clearly show how an item will legitimately relate to and be used as an integral part of an educational component of the program. Items cannot be purely award, prize, or incentive oriented.

**Performers:** Eligible if there is an educational or informational component that incorporates the theme and has a library tie-in. Think “informances” rather than “performances”. Book talks, displays, etc. can help to tie all elements of the program together.

**Refreshments:** Generally considered as part of entertainment and not integral to the program. Exceptions: breaks and meals associated with an extended **training** opportunity that lasts a minimum of 4 hours. Training for staff must involve participants from outside their own library or library district. The budget for food expenses must meet State purchasing guidelines. Please note the \$3.00 maximum for incidentals should be used when requesting food for breaks.

## Outcome Based Evaluation

Outcome-based evaluation (OBE), is the measurement of results. It identifies observations that can credibly demonstrate change or desirable conditions ("increased quality of work in the annual science fair," "interest in family history," "ability to use information effectively"). It systematically collects information about these indicators, and uses that information to show the extent to which a program achieved its goals.

Purposes:

IMLS believes the two most important purposes of evaluation are (1) to provide essential information for good decisions about priorities, deployment of resources, and program design and (2) to help communicate the value of initiatives (whether these are programs, services, or organizations— like libraries and museums).

The first step in choosing an evaluation method is deciding why to do it. Here are some good reasons:

- know the extent to which you've met your project or program goals;
- know the progress you've made towards large or long-term goals, and what's still needed;
- know the quality of your program or service (you define "quality" for the purpose of an evaluation—quality can include efficiency, productivity, cost control, effectiveness, value to a community, or a variety of other values);
- know if your program warrants more resources, fewer resources, or no resources at all (should continue, expand, or cease);
- communicate the importance of your program, service, or initiative to potential users, policy makers, and/or resource allocators.

This list is not exhaustive. You may want evaluation to meet all of these needs and more. The more purposes for evaluation, the more thought you need to give its design, and the more complex and expensive it will probably be. Few organizations can afford to cover all these bases. Your choices control scale and cost.

This table shows the four most common categories of messages about libraries or museums with some of the models for collecting and understanding information that typically support them. In order of increasing importance to most decision-makers *outside* the library and museum communities they are:

Message	Information Strategies for Understanding Museum and Library Performance*
How Much We Do	Inputs and outputs: statistics, gate counts, Web use logs, and other measures of quantity and productivity
How Well We Do It	Customer satisfaction, quality benchmarks, rankings
How Much We Cost/What We're Worth	Return on investment and cost:benefit calculations
What Good We Do/Why We Matter	<i>Outcomes measurement, impact assessment</i>

See the Webography at <https://www.imls.gov/grants/outcome-based-evaluation/webography> for examples of these approaches in the library and museum contexts. All of these messages and approaches (and others) can be valid. The *best* evaluation strategy depends on:

- the most important things that you want information to help you do or show,
- who you hope will use the information,
- how you want them to use it, and
- what you can afford or are willing to do.

Once you make those choices, identifying an evaluation approach; choosing methods, instruments, and samples; and developing specs, creating an RFP, or choosing an evaluator are much, much easier.

***Further information on outcome based evaluation is available at:***

**Shaping Outcomes** ([www.shapingoutcomes.org](http://www.shapingoutcomes.org)): Shaping Outcomes is an online course on outcomes-based planning and evaluation, which will help participants improve program designs and evaluations. It was developed through a cooperative agreement between IMLS and Indiana University-Purdue University, Indianapolis (IUPUI).

# Perspectives on Outcome Based Evaluation for Libraries and Museums



INSTITUTE  
*of* MUSEUM  
*and* LIBRARY  
SERVICES

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## INTRODUCTION

The Institute of Museum and Library Services is a steady champion for the role of museums and libraries in our society. As the primary source of federal funding to libraries and museums, we are frequently called upon to tell their stories and to share the impact of their work as community leaders, educational resources, and, guardians of our cultural heritage. Our funding programs support a remarkable range of services, strengthening the ability of museums and libraries to make a true difference in the lives of individuals, families and communities.

**Beverly Sheppard**

*Acting Director, Institute of  
Museum and Library Services*

The work of museums and libraries, however, takes place in an era of increasing demands for accountability. Such demands have already become a legislative reality with the passage of the Government Performance and Results Act (GPRA) in 1993. This requires every government agency to establish specific performance goals for each of its programs, preferably with performance indicators stated in objective, quantifiable, and measurable terms. Agencies must report on their level of achievement in reaching these goals on an annual basis. The effects of GPRA are also trickling down to state and local government agencies that are using the lead of the federal government to require evidence that all public dollars are well spent.

This is not just a government issue. A similar emphasis on accountability is being incorporated into funding guidelines for most major foundations. From all sides, museums and libraries

are receiving a clear message. If they are to compete for both public and private funds in an accountability-driven environment, they must develop evaluation practices that provide the most compelling picture of the impact of their services.

In the following two essays, Stephen Weil and Peggy Rudd present clear arguments for the adoption of a specific approach to evaluation known as outcome-based evaluation. They define a system of evaluation that replaces the question, “What have we done to accomplish our goals?” with the question “What has changed as a result of our work?” Taking their lead from evaluation practices adopted by the United Way in 1995, both writers suggest practices that focus on measuring the effects of an institution’s work on its public (outcomes) rather than on the services provided (outputs).

The Institute of Museum and Library Services shares both authors’ conviction that outcomes-based evaluation holds great promise for museums and

libraries. As a systematic measurement of impact, it may be employed at many intervals during and after the delivery of service, providing short, and long-term indications of a project’s effectiveness. Outcome-based evaluation is not pure research, nor is it simple data collection. It joins both of those essential processes, however, as a powerful tool in reporting the kinds of differences museums and libraries make among their users. It helps both institutions identify their successes and share their stories with a wide range of stakeholders.

Outcome-based evaluation is also a highly useful management tool. It does not occur within a vacuum, but is part of the core process of project development. Program planning, implementation, and evaluation are all parts of the whole that is driven by an institution’s purpose and vision. Evaluation provides the critical feedback that tells what is working, what must be changed, and how a program may be improved. It helps inform difficult

decisions. Realigning staff or real-locating financial resources are far more palatable when supported by evidence that these investments are making a difference. Well-designed evaluation further enables advocacy and partnership. Good stories become convincing and forge the basis for ongoing funding, support, and collaboration.

As both authors concur, good evaluation methodology is a challenge. Ambivalence toward evaluation is widely recognized and shared by many professional leaders. It requires commitment, regular practice, and an investment in training and resources. In addition, both museums and libraries raise questions about

how they can measure what may be a long-term benefit or best told through an individual narrative. They suggest that objective, quantifiable measures are often counter to their work.

Despite these concerns, however, if museums and libraries do not take the responsibility for developing their own set of credible indicators, they risk having someone else do it for them. The loss would be very great if funders or others outside the museum and library fields imposed an arbitrary set of standards to be measured. Museums and libraries would lose an important opportunity to learn through their work and to guide their own future.

IMLS is especially pleased to offer this publication as part of our support and encouragement for the adoption of outcome-based evaluation in the library and museum fields. Through our grants and awards, IMLS has supported the idea that museums and libraries have a profound capacity to make a difference in their communities. Now, in our support of outcome-based evaluation as a valuable methodology, we are committed to documenting their impact and telling their stories more widely.

We thank both Stephen Weil and Peggy Rudd for their wisdom and their generosity in sharing their essays for this purpose.

2-7-2-5

# Transformed from a Cemetery of Bric-a-brac...

S t e p h e n   E .   W e i l

Emeritus Senior Scholar  
Center for Education  
and Museum Studies  
Smithsonian Institution

Among the perennially favorite stories in my country is Washington Irving's tale of Rip Van Winkle, the amiable New York farmer who fell into a profound sleep as a loyal subject of King George III and—waking up some 20 years later—was astonished to find that he had meanwhile become a citizen of an entirely new country called the United States of America. What had happened while he slept, of course, was a revolution. If we could shift that frame just slightly and conjure up instead an old-fashioned curator in a New York museum—a sort of tweedy Rip Van Recluse—who dozed off at his desk some 50 years ago and woke up only today, would his astonishment at the museum in which he found himself be any the less? I think not.

During the past 50 years there have been not just one but two distinct revolutions in the American museum. The first—a revolution specific to the museum—was in its focus.

This paper was first delivered as a keynote address for the 1999 British Museum Annual Meeting.

# 2 distinct reVOLUTIONS

When Rip Van Recluse began his long sleep, the American museum, just as it had been since early in the century, was still oriented primarily inward on the growth, care, study, and display of its collection. By the time he awoke, though, that focus had been completely reversed. The museum in which he found himself was now an outwardly oriented organization engaged primarily in providing a range of educational and other services to its visitors and, beyond its visitors, to its community. The collection, once its *raison d'être*, was now, instead,

simply one of a number of resources available to be used for the accomplishment of a larger public purpose.

This change of focus, as Rip would quickly discover, was in no way peculiar to the American museum. Common virtually everywhere today is the conviction that public service is central to what a museum is all about. How that is expressed may differ from one country to another, but almost nowhere is there anybody now left who still believes—as did many of Rip's colleagues before his long sleep—

that the museum is its own excuse for being. As Kenneth Hudson recently pointed out in the 50th anniversary issue of the UNESCO magazine *Museum International*: “[T]he most fundamental change that has affected museums during the [past] half-century...is the now almost universal conviction that they exist in order to serve the public. The old-style museum felt itself under no such obligation. It existed, it had a building, it had collections and a staff to look after them, it was reasonably adequately financed, and its visitors, not usually numerous, came to look, to wonder, and to admire what was set before them. They were in no sense partners in the enterprise. The museum's prime responsibility was to its collections, not to its visitors.”

The second revolution—a revolution that is still in progress—is considerably more complicated. By no means specific to museums, it is a revolution raging across the entire not-for-profit or so-called third sector of American society—that sprawling conglom-

eration of more than one million privately-governed cultural, educational, religious, health care and social service organizations to which most American museums belong. Whereas the first revolution involved a change in institutional focus, this second revolution has to do with public expectations.

At its core is a growing expectation that, in the discharge of its public service obligations, every not-for-profit organization will carry out its particular work not only with integrity but with a high degree of competence as well and, moreover, that it will employ that competence to achieve an outcome that—regardless of what kind of a not-for-profit organization it may be—will demonstrably enhance the quality of individual lives and/or the well-being of some particular community. Under the pressure of this second revolution, what had once in the United States been a landscape dotted with volunteer-dominated and often amateurishly managed charities—the realm of stereotypical bumbling vicars,

fluttering chairladies, and absent-minded professors—is today being transformed into a dynamic system of social enterprises, a system in which the ultimate institutional success or failure of each constituent enterprise is to be judged by its capacity to articulate the particular results it is seeking to achieve and by its ability, in day-to-day practice, actually to achieve the results it has so articulated.

To translate that second revolution into museum terms: the institution in which Rip Van Recluse fell asleep was generally regarded as an essentially benevolent or philanthropic one. It was imbued with a generous spirit, its supporters were honorable, and worthy people, and it was, above all, respectable. During the years that Rip slept, other ways of looking at the American museum began to surface. For some observers, resources replaced respectability as the measure of a museum—a good museum, in their view, was one with a fine collection, an excellent staff, an impressive

building, and a solid endowment. For others a museum was better measured not by what resources it had but by what it did with those resources—by its programming. For still others it was processes and procedures that mattered—what made a museum admirable was its mastery of museological techniques, that it knew how to do things “by the book.” With the coming of this second revolution, however, all of those other measures are today being subsumed into two overarching concerns. These are, first, that the museum has the competence to achieve the outcomes to which it aspires—outcomes that will positively affect the quality of individual and communal lives—and, second, that the museum employs its competence in such a way as to assure that such outcomes, in fact, are demonstrably being achieved on some consistent basis.

Among the forces driving this second revolution have been the emergence, primarily in the graduate schools of business, of a new organizational concept—the “social enterprise”—as well

as the recent implementation, at an everyday working level, of several new modes of organizational assessment.

the “social enterprise”—as well as the recent implementation, at an everyday working level, of several new modes of organizational assessment. Among the most forceful proponents of the social enterprise concept is Professor J. Gregory Dees, formerly of the Harvard Business School and now at Stanford. As envisioned by Dees, a not-for-profit organization (which he calls a “social enterprise”) and a for-profit business (which he refers to as a “commercial enter-

prise”) can best be understood as being basically similar organizations that principally differ only (1) in the nature of the bottom lines that they pursue, (2) in how they price the products and/or services that they distribute and, (3) in how they acquire replacement resources to make up for those depleted through distribution.

In terms of the bottom line, the commercial enterprise’s ultimate operational objective is a positive economic outcome, *i.e.*,

a profit. By contrast, the ultimate operational objective for the social enterprise—its bottom line—is a positive social outcome. That difference notwithstanding, Dees argues that these two forms of enterprise’s are still more similar than different—each employing managerial skills to produce a bottom line result by adding value to the resources which they acquire and process. To think of a museum as “entrepreneurial” in that sense is by no means unprecedented. To

possess that particular ability—“...knowing how to invest time and money in anticipation of a return greater than the investment”—is exactly, for example, how Leon Paroissien defined entrepreneurship when he was director of the Museum of Contemporary Art in Sydney.

The second major difference between these forms of enterprise involves pricing. The commercial enterprise traditionally distributes its products and/or services at a market-determined price. By contrast, the social enterprise most frequently distributes its products and/or services either without charge or at less than their true cost. Dees again argues that this does not change their basic similarity.

It simply has implications for the third difference between them—how the social enterprise must acquire replacement resources. Unlike the commercial enterprise which has the capacity to buy what it needs in order to be productive, the social enterprise may be dependent in whole or in part upon contributed

goods, funds or services. In most operational respects, however, the social enterprise is still conceptually parallel with the commercial one. “Managing for results”—to use a Canadian phrase—is no less essential to one form of enterprise than to the other.

## Two instances are noteworthy here: the adoption of new evaluation practices in 1995 by the United Way of America and the passage by the United States Congress of the Government Performance and Results Act in 1993.

As this theoretical model was being polished in the business schools, a complementary group of ideas was finding practical expression in the workplace. Two instances are noteworthy here: the adoption of new eval-

uation practices in 1995 by the United Way of America and the passage by the United States Congress of the Government Performance and Results Act in 1993.

For those not familiar with the United Way, a brief description may be in order. Originally organized as the Community Chest movement, the United Way is perhaps the largest and certainly one of the most influential not-for-profit undertakings in the United States. A federation of some 1,400 community-based fund-raising organizations that derive roughly 70% of their contributed income from direct payroll deductions, it collected some \$3.5 billion dollars in its most

recent reporting year. That money, in turn, is then distributed to literally tens of thousands of local organizations throughout each community. Although each United Way chapter has full autonomy to determine how its share of this immense pool of money will be distributed, uniform standards are set by a National Office in Alexandria, Virginia. In 1995, that National Office officially announced a radical change in those standards.

Previously, United Way had based its funding decisions on an evaluation of its applicants' programs. If an organization applied to a United Way chapter for funding an adult literacy program, for example, the criteria for making or denying that grant would have been based on such program-related questions as whether the curriculum was soundly conceived, whether the instructors were well qualified, and whether the proposed classroom materials were appropriate for the expected participants. No longer, said

United Way in 1995. Henceforth the focus would be on the recipients of services, not their providers. Henceforth the test would be outcomes, results, program performance. By what percentage had the reading scores of those participants improved? How did that improvement compare with the improvement recorded in earlier years? How did it compare with the record of other literacy programs in similar circumstances? Put bluntly: neither was the program well-designed nor highly regarded but...DID IT REALLY WORK?

Central to this new United Way approach were such concepts as “change” and “difference.” A 1996 publication suggested how flexibly those concepts could be applied without violating the boundaries of what might still might be strictly defined as outcomes. “Outcomes,” it said: “...are benefits or changes for individuals or populations during or after participating in program activities. They are influenced by a program’s outputs. Outcomes

may relate to knowledge, attitudes, values, skills, behavior, condition, or other attributes. They are what participants know, think, or can do; or how they behave; or what their condition is, that is different following the program.”

Although United Way’s funding is primarily directed toward social service agencies, its full-scale embrace of outcome-based evaluation has nevertheless had a pervasive influence throughout the entire American funding community: among foundations, corporate donors, and government agencies. To a greater degree than ever, funders are asking applicants of every kind—cultural organizations as well as social service agencies and health services—detailed questions about just what outcomes they hope or realistically expect to achieve through a proposed program and about just how they intend to determine whether or not those particular outcomes have, in fact, been achieved.

Meanwhile, that identical

Under the Government Performance and Results Act or GPRA...each such agency will be responsible, first, for establishing—preferably in objective, quantifiable and measurable terms—specific performance goals for every one of its programs and, second, for thereafter reporting annually to the Congress on its success or lack of success in meeting those goals.

question—just precisely what is it that you hope or expect to accomplish with the funds for which you are asking—will be formally posed on an annual basis to every agency of the United States federal government beginning in the year 2000. Under the Government Performance and Results Act or GPRA—legislation that was scarcely noticed when it was passed on a bipartisan basis in 1993 but which is now beginning to loom very large as its effective date in 2000 approaches—each such agency will be responsible, first, for establishing—preferably in

objective, quantifiable and measurable terms—specific performance goals for every one of its programs and, second, for thereafter reporting annually to the Congress on its success or lack of success in meeting those goals.

In essence, GPRA will raise the level of public accountability to a new height. Prior to GPRA, United States government agencies were already responsible under earlier legislation for controlling fraud and abuse. Professor Peter Swords of the Columbia University Law School has referred to this lower level of scrutiny as “negative

accountability”—making sure that nobody was doing anything wrong. With GPRA, however, government will be ratcheting itself up a notch to what Swords has, by contrast, called “positive accountability”—making sure that government programs actually work to achieve their intended outcomes, making sure that federal money is not only being spent honestly but also that it is being spent effectively.

Although this enhanced standard of accountability will only affect a handful of museums directly, it is virtually certain to serve as a model for various state,

county and municipal governments and for some private funding sources as well. In confluence with the other forces driving this second revolution, the implementation of such standards is radically changing the climate in which American not-for-profit organizations—museums included—operate. This new climate is a distinctly more hard-nosed one, far reduced in the traditional trust and leniency that not-for-profit organizations enjoyed when yesterday's public still looked upon them as gen-

teel charities, and correspondingly higher in the degree of accountability on which today's public now insists.

Nothing on the horizon suggests that this climate is likely to change or that what we are witnessing is merely some cyclical phenomenon, something to be survived until museums can once again hunker down around their collections. In earlier and more trusting days, the museum survived on a kind of faith: faith that it was *per se* an important kind of institution, faith that its mere presence in a community would somehow enhance the well-being of that community. The second revolution has undermined that faith by posing questions about competence and purpose that, like genies released from a bottle, cannot readily be corked up again. To repeat an observation I made at another conference just two years ago:

"If our museums are not being operated with the ultimate goal of improving the quality of people's lives, on what [other] basis might we possibly ask for

public support? Not, certainly, on the grounds that we need museums in order that museum professionals might have an opportunity to develop their skills and advance their careers, or so that those of us who enjoy museum work will have a place in which to do it. Not, certainly, on the grounds that they provide elegant venues for openings, receptions and other glamorous social events. Nor is it likely that we could successfully argue that museums...deserve to be supported simply as an established tradition, as a kind of ongoing habit, long after any good reasons to do so have ceased to be relevant or have long been forgotten."

As museums in the United States seek to cope with this second revolution, a number of misconceptions have emerged. For one, many American museum workers seem to believe that what is primarily being asked of them is that they become more efficient, that they adopt some set of "lean and mean" practices from the busi-

ness sector that would enable them and their museums to achieve a more positive and self-supporting economic bottom line. Although nobody, certainly, is condoning inefficiency in museums, the goal that the proponents of social enterprise theory, the United Way and GPRA, are each in their own way pursuing is not merely efficiency but something far more difficult to attain and considerably more important as well: effectiveness.

In this context, the distinction between efficiency and effectiveness is critical. Efficiency is a measure of cost. Effectiveness is a measure of outcome. Efficiency describes the relationship between a program's outcome and the resources expended to achieve that outcome.

Efficiency is clearly important—the more efficient an organization, the more outcome it can generate from the same expenditure of resources—but it is always subsidiary to effectiveness. What effectiveness describes is the relationship between a program's out-

"If our museums are not being operated with the ultimate goal of improving the quality of people's lives, on what [other] basis might we possibly ask for public support?"

come and the expectation with which that program was undertaken in the first place. Effectiveness is the measure of DID IT REALLY WORK? In the for-profit commercial enterprise, there is a substantial overlap between efficiency and effectiveness. Waste can undermine profit, the basic point of the enterprise. Not so in the social enterprise, where efficiency and effectiveness remain distinct. A museum might conceivably be effective without necessarily being efficient.

A related misconception is that the pursuit of effectiveness is somehow analogous to benchmarking. Benchmarking—as that term is generally used in the United States—is about something else: an effort to improve how you perform a particular task by seeking out the most exemplary practice in some other organization with the intention, so far as may be practical, of then adopting that practice for yourself. Specific procedures within a museum—making timely payment to vendors, performing a

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conservation survey, processing outgoing loans—can certainly be approached in this way, but scarcely ever could the overall operation of the museum itself be benchmarked. Museums are so extraordinarily varied in their origin, discipline, scale, governance, collections, sources of funding, endowment, staffing, facilities, and community setting that one can hardly serve as a model or even the basis of any meaningful comparison for another. That is particularly the case with respect to effectiveness. A museum's effectiveness can only be determined in relationship to what it is trying to accomplish—not in terms of what some other museum is trying to accomplish.

Finally, there are those who think that what is being asked of American museums by these combined revolutions is something wholly novel or unprecedented. From almost its very beginning, however, the mainstream museum movement in the United States has had running beside it a slender but vigorous alternative movement—a kind of

counter-current—that envisioned the museum not in terms of such inward activities as the accumulation and care and study of its collections but, rather, in terms of what impact it might have on its community. In fact, America's two great flagship art museums—the Museum of Fine Arts in Boston and the Metropolitan Museum of Art in New York, both founded in 1870—were originally modeled on the South Kensington Museum and intended from their inception to be primarily educational in nature. It was only between the years 1905 and 1910, that they refocused their primary attention on collecting original, often unique, works of fine art. For more than a century, many of the most eloquent voices within the American museum community have argued strenuously for the outwardly directed and publicly accountable museum. Here, for example, is how George Brown Goode—an early Assistant Secretary of the Smithsonian—made the case during a lecture at the Brooklyn Institute in 1889:

“The museum of the past must be set aside, reconstructed, transformed from a cemetery of bric-a-brac into a nursery of living thoughts. The museum of the future must stand side by side with the library and the laboratory, as part of the teaching equipment of the college and university, and in the great cities cooperate with the public library as one of the principal agencies for the enlightenment of the people.”

Nobody has made these arguments more pungently, however, than John Cotton Dana, the early champion of community museums and the founder, in the early 1900s, of one of America’s most notable examples: the Newark Museum. In a 1917 essay, written as the Metropolitan Museum of Art and other East Coast museums were accelerating their quest for the previously unobtainable works of fine art flowing out of Europe, Dana was scornful of what he called “marble palaces filled with those so-called emblems of culture, rare and costly

and wonder-working objects.” Such museums, he said, “which kings, princes, and other masters of people and wealth had constructed” would give the common people neither pleasure nor profit. Nor could such museums accomplish what Dana took to be the first and obvious task of every museum: “adding to the happiness, wisdom, and comfort of members of the community.”

Most remarkably of all, Dana understood as early as 1920 that the public’s support of a museum was at bottom an exchange transaction—that it, the public, was due a measure of value in return. Moreover, he foresaw that some type of positive accountability would be required in order to assure the public that the museum was actually providing such value.

“All public institutions (and museums are not exceptions to this rule) should give returns for their cost; and those returns should be in good degree positive, definite, visible, measur-

able. The goodness of a museum is not in direct ratio to the cost of its building and the upkeep thereof, or to the rarity, auction value, or money cost of its collections. A museum is good only insofar as it is of use....Common sense demands that a publicly supported institution do something for its supporters and that some part at least of what it does be capable of clear description and downright valuation.”

In a sense, this once alternative movement, this counter-current, is now in the course of itself becoming the mainstream. Astonishing as the concept of the

museum as a positively accountable public service organization may be to the newly awoken Rip Van Recluse, that concept does, in fact, have deep roots in the American museum tradition.

Moving on, then, I want to turn to what seem to me some of the major consequences that these two revolutions may potentially have for American museums. Five seem particularly noteworthy. The first pertains to disciplinarity. According to the last survey data—unfortunately, not very recent—only 15% or so of American museums are truly interdisciplinary. That 15% includes children’s museums—

today the fastest growing segment of the American museum community—and general museums. The remaining 85% are closely tied to one or another academic specialty. When collections were central to a museum’s concerns, that kind of specialization—albeit something of a straightjacket—might have made a certain amount of sense. It makes much less sense today, though, as the museum’s focus shifts toward public service. And it makes no sense whatsoever in those many small American communities that may have only a single museum, or even two.

In this new environment,

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As the museum redefines its central purpose from inward to outward—from amassing a collection to providing a public service—it finds itself being drawn into collaboration with, or at times even exchanging functions with, a broad range of other community-based service organizations whose purposes are similar.

museums should better be able to liberate themselves from these disciplinary constraints and to broaden the range of their programming even to the extent of blurring if not actually breaking down the traditional boundaries between disciplines. In that regard, a revival of John Cotton Dana's case for the community museum could not be more timely. For Dana, the proper way to shape a museum's program was not by recourse to some academic discipline—art, history, or natural science—but through an ongoing conversation with the community. “Learn what aid the community needs,” he said, and “fit the museum to those needs.”

A second—and related—con-

sequence pertains to a blurring of boundaries around the museum field itself. When the museum's principal activities were the highly specialized ones of accumulating, preserving, and displaying a collection—activities virtually unique to the museum—it tended to do its work more or less in isolation and alone. Not so today. As the museum redefines its central purpose from inward to outward—from amassing a collection to providing a public service—it finds itself being drawn into collaboration with, or at times even exchanging functions with, a broad range of other community-based service organizations whose purposes are similar. To

some extent, the museum's submergence in these new relationships and/or its assumption of new and nontraditional roles can blur its once clear identity. Whatever loss that might entail, however, may be more than compensated for by the increase in effectiveness it can thereby achieve. Here, I think, our American experience in working collaboratively is very much in accord with the British experience as described in *A Common Wealth*, David Anderson's 1997 report to the Department of National Heritage:

“Partnerships allow museums to extend the boundaries of what is possible: to share risks, acquire resources, reach new audiences,

obtain complementary skills, improve the quality of service, achieve projects that would have otherwise been impossible, acquire validation from an external source, and win community and political support.”

A third consequence—one that our time-traveller Rip Van Recluse may not find so congenial—is internal. It pertains to how museums are staffed and how their operating budgets allocated. When collections were at the core of the museum's concern, the role played by those in charge of the collection—keepers in your country, curators in mine—was dominant. In American museums, curators were literally the resident princes. With the evolution of the outwardly-focused, public-service museum, curators have been forced to share some part of their authority with a range of other specialists: first with museum educators, and more recently with exhibition planners, with public programmers, and even with marketing and media specialists. As with their authority,

so with their budgets. As the museum's focus is redirected outward, an increasing share of its operating costs, particularly salaries, must concurrently be diverted away from the acquisition, study and care of collections and toward other functions. In many American museums this has sometimes been a bumpy transition—power is not always relinquished graciously, even by otherwise gracious museum people—and one with still some distance to go.

The fourth of these consequences also has budgetary consequences. It is the urgent need for museums to develop and implement new assessment techniques by which to evaluate the overall impact of their programs on both individuals and communities. Not only will this be expensive, but museums also begin with a tremendous handicap. Because outcome-based evaluation has its roots in the social service area where results can usually be quantified, this kind of evaluation presents particular problems not only to museums

but also to certain other public service organizations—religious bodies, liberal arts colleges, environmental lobbyists—whose program outcomes may not be readily susceptible to statistical or other measurement.

In contrast, for example, to a drug rehabilitation program or a prenatal nutrition program—both of which might produce clearly measurable outcomes within less than a year—the impact of a museum tends to be subtle, indirect, frequently cumulative over time, and often intertwined with the impacts of such other sources of formal and informal educational experiences as schools, churches and various social and affinity groups. Museums will not only have to educate themselves as to how their impact can be captured and described. They will also have to educate those to whom they may be accountable as to what may and may not be possible in rendering their accounts. Daunting as those tasks may be, they will be essential. It is precisely because the value of what a

museum can add to a community's well-being may not be as self-evident as is that provided by the drug or prenatal program that developing a credible means to report that value is so important.

The fifth and final of these consequences is—to my mind—the most critical. It concerns the need to define institutional purposes more clearly and, having once defined them, to make those purposes the consistent backbone of every activity that the museum undertakes. The logic here is basic. Under the impact of these two revolutions, institutional effectiveness will be the key to continued public support. In the absence of some clear sense of what a museum intends to achieve, however, it is simply impossible to assess its effectiveness—impossible to evaluate how its actual achievements compare with its intended ones. That a clear sense of purpose was basic to a museum's organizational well-being was something already understood—if only instinctively—by the early proponents

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of the outwardly-directed museum. In a paper presented to the British museums association when it met in Newcastle back in 1895, the Smithsonian's George Brown Goode made that very point. "Lack of purpose in museum work," he said, "leads in a most conspicuous way to a waste of effort and to partial or complete failure."

One source of difficulty for American museums has been a tendency to confuse museum

purposes with museum functions. In the book on mission statements that Gail Anderson edited for the American Association of Museums this past year, she points out that there is no way in which a museum that describes its intentions solely in terms of the activities it plans to undertake—that it will collect, preserve, and interpret X or Y or Z—can be qualitatively evaluated. In the absence of any sense of just what it hopes to accom-

plish and whom it hopes to benefit through those activities, such a museum simply appears to be spinning in space with no goal, perhaps, but its own survival. This is where Rip Van Reclus might find himself most particularly puzzled. When he fell asleep in his museum all those years ago, its purpose wasn't a question. In the mainstream formulation, a museum didn't need a reason to be. It just was. No more. This second revolution is establishing purpose as every institution's starting point—the first premise from which every institutional argument must hereafter proceed.

When we finally do turn, then, to see what the possible purposes of museum might be, what we find shining through is the incomparable richness of this field in which we work. In the range of purposes that they can pursue—in the range of the community needs which they can meet: educational needs and spiritual ones, social and physical needs, psychological and economic ones—museums are

among the most remarkably flexible organizational types that a modern society has available for its use. Museums can provide forms of public service that are all but infinite in their variety. Museums can inspire individual achievement in the arts and in science, they can serve to strengthen family and other personal ties, they can help communities to achieve and maintain social stability, they can act as advocates or play the role of mediator, they can inspire respect for the natural environment, they can generate self-respect and mutual respect, they can provide safe environments for self-exploration, they can be sites for informal learning, and ever so much more. In every realm, museums can truly serve as places to remember, as places to discover, as places to imagine.

Back in 1978, the American Association of Museums elected Dr. Kenneth Starr, then the head of the Milwaukee Public Museum, as its President. Earlier in his career, Starr had been a scholar of Chinese art and, almost invari-

ably in the course of a public address, he would remind his listeners that the Chinese ideogram for crisis was a combination of the symbols for danger and opportunity. If these revolutions at which we have been looking—from an inwardly focused museum to an externally focused one, from a museum whose worth might be accepted on faith to one required to demonstrate its competence and render a positive account of its achievements—if these revolutions can in any sense be thought to have triggered a crisis, then we might well conclude by asking the two relevant questions in every crisis: Where is the danger? Where is the opportunity?

For the American museum, I think, the danger is that it may slide back into its old Rip Van Recluse collection-centered ways and thereby render itself irrelevant. In our American system of third-sector privately-governed not-for-profit organizations, there are no safety nets for worn-out institutions. Museums can fail, and they will fail if and when

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nobody wants to support them any longer. And the opportunity? The opportunity, I think, is for the museum to seize this moment—to use it, first, as the occasion to think through and clarify its institutional purposes and then, second, to go on from there to develop the solid managerial techniques and strategies that will assure its ability to accomplish those purposes in a demonstrable and consistent way.

Before he fell asleep, Rip Van Recluse may well have felt some

pride about the good place in which he worked, the important people who supported it, perhaps even about its fine collection and imposing building. Today, though, two revolutions later, the pride that we, as museum workers, can take is of a different and, I think, a higher order. It is the pride of being associated with an enterprise that has so profound a capacity to make a positive difference in the quality of individual lives, an enter-

prise that can—in so many significant ways and in so many remarkably different ways—enrich the common well-being of our communities. Those are the possibilities that these two revolutions have released to us. It's up to us now to make the most of them.

# Documenting the Difference:

Demonstrating the Value of  
Libraries Through Outcome  
Measurement

By Peggy D. Rudd

Director and Librarian, Texas State  
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For those of us who work in libraries, who educate those who work in them and who use and support them in a variety of ways, the value of libraries goes without saying. We believe they are a public good. We believe that libraries positively influence student achievement, contribute to the corporate bottom line, fuel research, support community development, improve the quality of life, further education from cradle to grave and contribute to personal betterment. We've long held that one of the best investments of public funds is in libraries and that the key to personal improvement and success is a library card. But no matter how fervent our beliefs about the value of libraries, our belief system offers the weakest of responses when presented with the classic evaluation question: What difference does it make?

What difference does  
it MAKE?

For many years, academic, school, and public libraries have contributed to data-gathering efforts administered by the National Center for Education Statistics. Libraries collect and report a variety of data to meet specific needs: to respond to surveys, to prepare annual reports, to measure progress toward objectives, to assess the extent to which the library meets standards, to support long-range planning and budgeting, etc. Librarians have also become increasingly adept at measuring programs and services through inputs (resources) and outputs (products). Basic “counting up” processes (*e.g.*, circulation, library visits, program attendance) have been fine-tuned by drawing relationships between outputs and other variables (*e.g.*, circulation *per capita*, collection turnover rate, registration as a percent of population). But these current kinds and levels of measurement are insufficient to enable librarians to answer this larger question: What is the impact on program partic-

ipants and service recipients?

Further, as library programs and services continue to evolve, the staples of our measurement system reveal their inadequacies. In a world in which virtual library visits are as important as door counts, electronic documents retrieved are as numerous as circulation and on-line

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information literacy tutorials are replacing face-to-face bibliographic instruction, measurement must reflect the new order. Even as the “counting up” processes evolve to match the new shape of library programs and services, the question of results remains.

How can we move beyond the current system of measurement to get at the very heart of the purpose and value of libraries captured in American Library Association slogan, “Libraries Change Lives”? We believe that libraries have a profound impact on individuals, institutions and communities. How can we engineer a measurement system that will verify our intuition? In my view, we must measure outcomes.

The interest in verifying impact and achieving results does not stem merely from an attempt to better understand the effect of library programs and services on users. Nationwide, program performance and results-based planning, budgeting and public reporting are becoming the norm. A growing number of states, counties and cities are adopting new planning and budgeting processes that focus on accountability and closely link the allocation of resources with direct impact on people served. This change in government focus is being fueled by public sentiment: voters want their elected

officials to find some other way to solve problems than simply asking them to pay higher taxes. Taxpayers are becoming increasingly reluctant to accept the status quo.

With the passage of the Government Performance and Results Act (GPRA) in 1993, the huge federal bureaucracy began to move toward an outcome-oriented structure for service delivery and assessment. Among the purposes of GPRA are these: (1) to “improve the confidence of the American people in the capability of the Federal Government, by systematically holding Federal agencies accountable for achieving program results” and (2) to “improve Federal program effectiveness and public accountability by promoting a new focus on results, service quality, and customer satisfaction.”

In growing numbers, service providers, governments, other funders and the public are calling for clearer evidence that the resources they expend actually produce benefits for people.

With expectations for accountability rising and resources being squeezed between demands for reduced taxes and needs for increased services, librarians must be able to demonstrate the difference programs make by measuring the impact they have on the people they serve.

The United Way of America has led the movement toward outcome measurement through a project aimed at gradually bringing all human service agencies and organizations which receive United Way funding into compliance with outcome measurement. It should be noted that the United Way outcome model was crafted with input from a task force that represented local United Ways, national human service organizations, foundations, corporations, and academic and research institutions. In addition, program directors from twenty-three national health, human service, and child and family service organizations provided input. The model was tested by local human service organiza-

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tions and their experience thoroughly reviewed with an eye to improving the process.

The prime motivation for this coordinated effort is best expressed in the article by J. Gregory Dees cited by Stephen Weil. In “Enterprising Nonprofits” Dees speaks to the very core of accountability and outcome measurement: “In an ideal world, social enterprises would receive funding and attract resources only when they produced their intended social

impact—such as alleviating poverty in a given area, reducing drug abuse, delivering high-quality education, or conserving natural resources.”

Although Dees is referring specifically to nonprofit social enterprises, his link between resources and the success of mission-related activities is especially important. In the library world, links have traditionally been made between resources and outputs. As long as populations to be served were growing, circula-

tion was increasing, and reference questions continued rising, requesting increased resources to handle the challenge of increasing outputs made sense. Further, libraries have long occupied a place of respect within those democratic traditions that are uniquely American. So, requiring proof of results is seen by some as a frontal assault on a good and worthy institution that should not have to justify itself. “Doing good deeds” is justification enough. While there was

a time when that argument might have been sufficient, today that is no longer the case.

In order to judge the usefulness of the outcomes model in a library setting, it is first important to understand the model itself. It is also important to understand precisely what is meant by the term “outcome,” which has a very particular meaning here. At the heart of the process is the construction of a logic model, a diagram of how a program

While outcome measurement may at first seem very different from the traditional program or service model, in fact it incorporates all of the elements of traditional library measurement (inputs, activities, outputs) while adding only the element of outcomes.

works theoretically. The logic model is a self-contained description of the components of the program. Numerous variations of the model have evolved, but for United Way, these include:

**Inputs**—Resources dedicated to or consumed by a program (*e.g.*, money, staff, volunteers, facilities, library materials, equipment).

**Activities**—What the program does with the inputs to fulfill its mission (*e.g.*, conduct story times, after-school homework clinics, summer reading programs, parent education classes, information literacy classes).

**Outputs**—Direct products of program activities, usually measured in terms of work accomplished (*e.g.*, number of story time attendees, number of students attending after-school homework clinics, number of parent education classes taught, number of children participating in summer reading program, number attending information literacy classes).

**Outcomes**—Benefits or changes for individuals or populations during or after participating in program activities, including new knowledge, increased skills, changed attitudes or values, modified behavior, improved condition, or altered status (*e.g.*, number of children who learned a finger play during story time, number of parents who indicated that they gained new knowledge or skills as a result of parent education classes, number of students whose grades improved after homework clinics, number of children who maintained reading skills over the summer as a result of a summer reading program, number of people who report being better able to access and use networked information after attending information literacy classes).

While outcome measurement may at first seem very different from the traditional program or service model, in fact it incorporates all of the elements of traditional library measurement (inputs, activities, outputs) while adding only the

element of outcomes. Clearly, outcomes can be a powerful tool for planning and improving programs and services. Demonstrating the effectiveness of programs and services can benefit a library in the following ways:

- ▶ Outcomes can be a powerful tool for communicating program and service benefits to the community.
- ▶ Outcomes can be a powerful tool for demonstrating accountability and justifying funding needs to funders and resource allocators.
- ▶ Outcomes can be a tool for building partnerships and promoting community collaborations.
- ▶ Outcomes can help determine which programs and services should be expanded or replicated.
- ▶ Outcomes can be a tool for singling out exemplary programs and services for recognition.

Even though the United Way model was designed specifically for health and human services

organizations and agencies, it is highly transferable to the library environment. The same elements apply: the need is identified, program options for meeting the needs are evaluated, and resources are brought together to implement the option selected. Despite differences in activities for the library and the human service agency, both intend that participants be better off somehow after participating in the program. Although it is necessary to tailor training materials to library activities and provide relevant examples, the fundamentals of the model are entirely

applicable to library programs and services.

While libraries can gain many benefits from outcome measurement, some potential problems must be recognized. Evaluation is not a trivial undertaking, and outcome measurement is certainly no exception. It requires staff skill and attention that may be a challenge for smaller libraries. However, the logic model itself can offer some much-needed support. By bringing together on a single page all aspects of a program or service, it becomes a microcosm into which all program elements have

been reduced to their essence. The simplicity of the logic model is perhaps its best feature, especially for smaller libraries.

Some librarians fear that their traditional relationship with users may prohibit the kind of user-based reporting and verification that is needed to demonstrate outcomes. One of the great features of libraries is that they serve people indiscriminately. Librarians are very keen on honoring the privacy of users and asking only for information that helps them accurately negotiate a request for assistance. But in order to find out if changes

have occurred as a result of participating in a library program or service, it may be necessary to ask for information that is not generally considered relevant to a user's interaction with the library.

Of course, some outcomes can simply be observed. In an earlier example, one possible outcome was that the child learned a new finger play from library story time. This short-term outcome, a new skill, can be observed fairly easily. However, if one wants to know if an literacy program participant has gained employment as a result of the program, or if

participation in an after-school homework clinic has helped a middle school student improve grades, more in-depth information will be required. This is not part of the traditional relationship between libraries and their users, which maintains a respectful distance from the purposes of a user's request for information or services.

There is nothing inherent in outcome measurement that would require librarians to violate the code of ethics that governs their relationship with users. Some librarians, however, may see requesting impact information from users as a breach of this code. The focus of the library is on the interaction itself, requiring the library staff member to elicit only as much information as will link the user with the requested information. However, if determining the results of a program will help ensure funding which will then reap benefits for additional users, involving users in voluntary program outcome assessment is a most valuable undertaking and should not be

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It is important to realize that one does not have to measure everything all of the time. Outcomes measurement can be applied to selected programs and services. It is recommended that a library start small and apply the model to a contained program that the library staff has great familiarity with, to minimize the slope of the learning curve. It may also be easier to start out applying outcome measurement to only one part of a program. For example, if the library is implementing a family literacy program, it may be more useful to apply the model to the adult literacy portion of the program or to the parent education part of the program. In the United Way vocabulary, these program parts that may be measured independently are called “outcome tracks.”

It is also perfectly acceptable to apply outcome measurement to a program one time and to continue to use the results as a basis on which to build long-

range plans, budgets, etc. For example, if outcome measurement has demonstrated that 80% of school-age children who participated in the summer reading program maintained their reading skills over the summer, it is not necessary to re-test that finding each summer. Periodic reevaluation is a good idea in order to verify that a long-term program is continuing to have the desired results or outcomes, however, outcome measurement does not have to be done continually.

It is also possible that outcome measurement conducted on a statewide level can provide substantiation for programs implemented in local libraries. If it can be demonstrated at the state level that an early intervention program such as “Born to Read” has significant impact on the lives of parents and their young children, then those results can be used locally to support requests for local government funding or private funding. The transferability of state outcomes to local programs would validate

What the library can and should claim is that it helps people change in some way. We know this result happens (libraries do change lives!); outcome measurement can help us prove it.

the potential of those local efforts.

It is important to remember that outcome-based measurement does not imply that the library is claiming sole responsibility for the change in the lives of program participants or service recipients. We all know that influences on human behavior are far more complex and that changes occur frequently as a result of a great number of factors acting upon an individual. What the library can and should claim is that it has made a significant contribution to helping

people change in some way. We know this result happens (libraries do change lives!); outcome measurement can help us prove it.

The United Way logic model features three categories of outcomes: initial, intermediate, and longer-term. Initial outcomes are those benefits or changes that occur during program participation. Intermediate outcomes are those that occur a few months into the program up until a few months after the participant is no longer involved in the program. Longer-term outcomes are

those that occur some time after participation in the program. While longer-term outcomes may require the kind of longitudinal study that few libraries are equipped to handle, most libraries should be able to track initial and intermediate outcomes fairly easily. Since libraries do not always have long-term relationships with program participants, they may have no effective mechanism for tracking program participants over time. Thus, most libraries will focus on initial and intermediate outcomes more effectively than on longer-term outcomes.

Outcome measures can be a tremendous planning boon for libraries and a guide to resource allocation. Every program has a variety of activities that are conducted as the program is implemented. Through measuring program outcomes, program planners and implementers can learn a great deal about what works and what doesn't work—what activities lead to higher levels of outcome achievement than others. In this way, staff can begin to target resources to those activities that are more effective.

With the support of the Institute of Museum and Library Services, an increasing number of State Library Agencies and recipients of National Leadership Grant awards are beginning to receive training in outcome measurement and encouragement to apply this system of evaluation to programs funded by the federal Library Services and Technology Act. As these agencies and organizations gain experience in applying outcome measurement to library pro-

grams, their experiences need to be shared broadly with the library community. Through the knowledge and experience of early adopters, the value of outcome measurement can be tested in a variety of library and program settings and a body of “best practices” can begin to evolve.

Those of us who have com-

mitted our life's work to the improvement of libraries are continually frustrated with our lack of ability to effectively “tell the library story.” While it would much more convenient if the worth of libraries was simply accepted on faith by university presidents, county commissioners, city managers, and

school boards, that is frequently not the case. Outcome measurement has the potential to be a powerful tool to help us substantiate the claims we know to be true about the impact of libraries in our institutions and in our society. Will it be an easy road to travel? No, but it will absolutely be worth the trip!

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impact of libraries in our institutions and in our society. Will it be an easy road to travel? No, but it will absolutely be worth the trip!

## RESOURCES

If outcome-based and other formal program evaluation methods are new to your institution, many excellent publications are available to introduce them. This list is offered as a resource, and is not limiting or exclusive. While terminology differs from publication to publication, basic concepts are very similar. With the exception of IMLS's brief introduction, the following resources draw examples from educational and social service settings, but many are readily applicable to typical goals of library and museum programs. Many of the titles below are available at no cost online.

Bond, Sally L., Boyd, Sally E., and Rapp, Kathleen A. (1997). *Taking Stock: A Practical Guide to Evaluating your own Programs*. Chapel Hill, N.C.: Horizon Research, Inc., 111 Cloister Court, Suite 220, Chapel Hill, NC 27514, 919-489-1725 (\$25.00, pb). This manual was developed for community-based science education initiatives through funding from the DeWitt Wallace-Readers Digest Fund. Participating advisors included the Association of Science-Technology Centers and the National Science Foundation. Available via Acrobat PDF at <<http://www.horizon-research.com/publications/stock.pdf>> as of April 17, 2000.

Institute of Museum and Library Services (1999). *Outcome-Based Evaluation for IMLS-Funded Projects for Libraries and Museums*. Contact Karen Motylewski, Institute of Museum and Library Services (IMLS), 1100 Pennsylvania Avenue, NW, Washington, DC 20560, 202-606-5551, e-mail <[kmotylewski@imls.gov](mailto:kmotylewski@imls.gov)>. This brief introduction for IMLS grantees and proposers uses examples from library and museum contexts. Available on request in paper or electronic versions.

Mika, Kristine L. (1996). *Program Outcome Evaluation: A Step-by-Step Handbook*. Milwaukee, WI: Families International, Inc., 11700 West Lake Park Drive, Milwaukee, WI 53224 (\$13.95, pb). Available commercially from various booksellers.

Project STAR (no date). *Support and Training for Assessing Results*. San Mateo, CA: Project Star, 480 E. 4th Ave., Unit A, San Mateo, CA 94401-3349, 1-800-548-3656. A basic manual for outcome-based evaluation produced by Project STAR under contract to the Corporation

for National Service. Available via Rich Text Format or Acrobat PDF at <<http://www.projectstar.org/>> as of April 17, 2000.

United Way of America. *Measuring Program Outcomes: A Practical Approach* (1996). Alexandria, VA: United Way of America, 701 North Fairfax Street, Alexandria, VA 22314, 703-836-7100 or <<http://www.unitedway.org/outcomes/publctns.htm#It0989>> (\$5.00, spiral bound, to not-for-profit organizations). Developed by United Way for its grantees, this manual led the movement to outcome-based evaluation by funders of not-for-profit organizations. See <<http://www.unitedway.org/outcomes/publctns.htm>> for other pertinent United Way publications, some available via Acrobat PDF or Rich Text Format.

W.K. Kellogg Foundation *Evaluation Handbook* (January 1998). Available via Acrobat PDF at <<http://www.wkkf.org/Publications/evalhdbk/default.htm>> as of April 17, 2000.

PC Magazine has published reviews ("Editor's Choice," February 8, 2000) of software tools for Web-based surveys that some programs may find useful. See <<http://www.zdnet.com/pcmag/stories/reviews/0,6755,2417503,00.html>> as of April 17, 2000.

Sage Publications, Inc., 2455 Teller Road, Thousand Oaks, CA 91320, 805-499-0721 or <[www.sagepub.com](http://www.sagepub.com)> is a commercial publisher that specializes in publications on evaluation and related subjects. They offer many titles that cover aspects of evaluation in detail.

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# The Logic Model for Program Planning and Evaluation

Paul F. McCawley  
Associate Director  
University of Idaho Extension

## What is the Logic Model?

The Logic Model process is a tool that has been used for more than 20 years by program managers and evaluators to describe the effectiveness of their programs. The model describes logical linkages among program resources, activities, outputs, audiences, and short-, intermediate-, and long-term outcomes related to a specific problem or situation. Once a program has been described in terms of the logic model, critical measures of performance can be identified.<sup>1</sup>

Logic models are narrative or graphical depictions of processes in real life that communicate the underlying assumptions upon which an activity is expected to lead to a specific result. Logic models illustrate a sequence of cause-and-effect relationships—a systems approach to communicate the path toward a desired result.<sup>2</sup>

A common concern of impact measurement is that of limited control over complex outcomes. Establishing desired long-term outcomes, such as improved financial security or reduced teen-age violence, is tenuous because of the

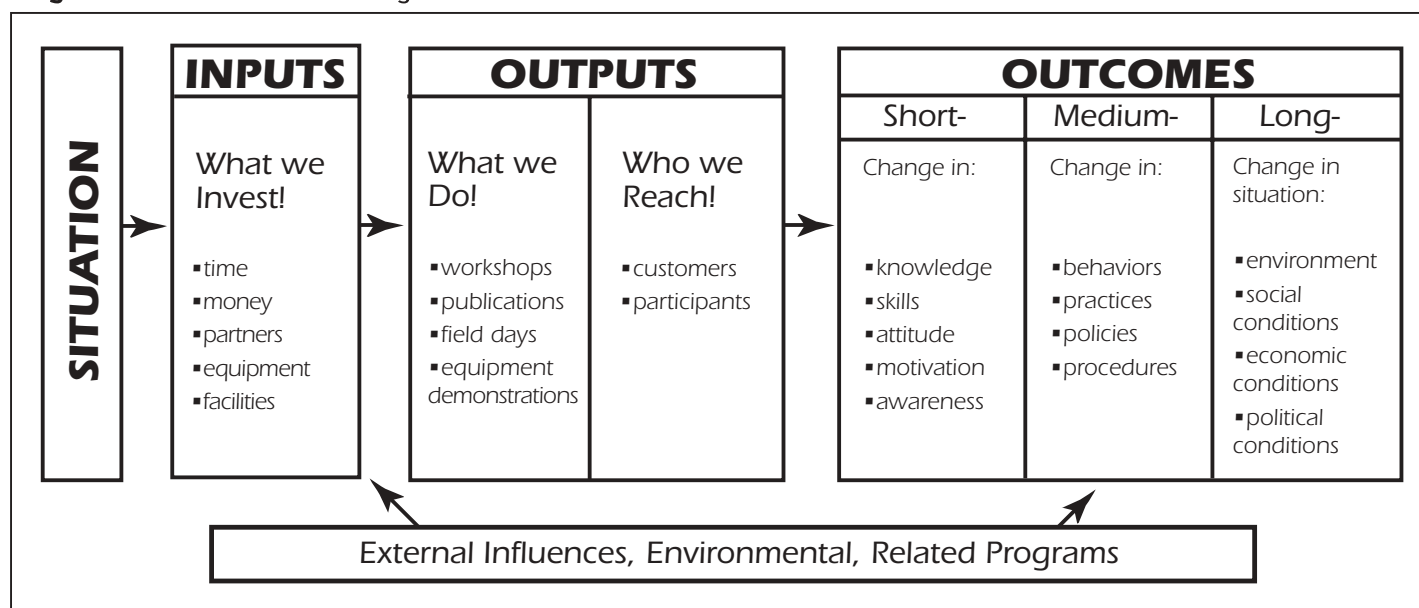
limited influence we may have over the target audience, and complex, uncontrolled environmental variables. Logic models address this issue because they describe the concepts that need to be considered when we seek such outcomes. Logic models link the problem (situation) to the intervention (our inputs and outputs), and the impact (outcome). Further, the model helps to identify partnerships critical to enhancing our performance.

## Planning Process

The logic model was characterized initially by program evaluators as a tool for identifying performance measures. Since that time, the tool has been adapted to program planning, as well. The application of the logic model as a planning tool allows precise communication about the purposes of a project, the components of a project, and the sequence of activities and accomplishments. Further, a project originally designed with assessment in mind is much more likely to yield beneficial data, should evaluation be desired.

In the past, our strategy to justify a particular program often has been to explain what we are doing from the perspective of an insider, beginning with why we invest allocated resources. Our traditional justification includes the following sequence:

**Figure 1.** Elements of the Logic Model.<sup>3</sup>



- 1) We invest this time/money so that we can generate this activity/product.
- 2) The activity/product is needed so people will learn how to do this.
- 3) People need to learn that so they can apply their knowledge to this practice.
- 4) When that practice is applied, the effect will be to change this condition;
- 5) When that condition changes, we will no longer be in this situation.

The logic model process has been used successfully following the above sequence. However, according to Millar *et al.*,<sup>2</sup> logic models that begin with the inputs and work through to the desired outcomes may reflect a natural tendency to limit one's thinking to existing activities, programs, and research questions. Starting with the inputs tends to foster a defense of the status quo rather than create a forum for new ideas or concepts. To help us think "outside the box," Millar suggests that the planning sequence be inverted, thereby focusing on the outcomes to be achieved. In such a reversed process, we ask ourselves "what needs to be done?" rather than "what is being done?" Following the advice of the authors, we might begin building our logic model by asking questions in the following sequence.

- 1) What is the current situation that we intend to impact?
- 2) What will it look like when we achieve the desired situation or outcome?
- 3) What behaviors need to change for that outcome to be achieved?

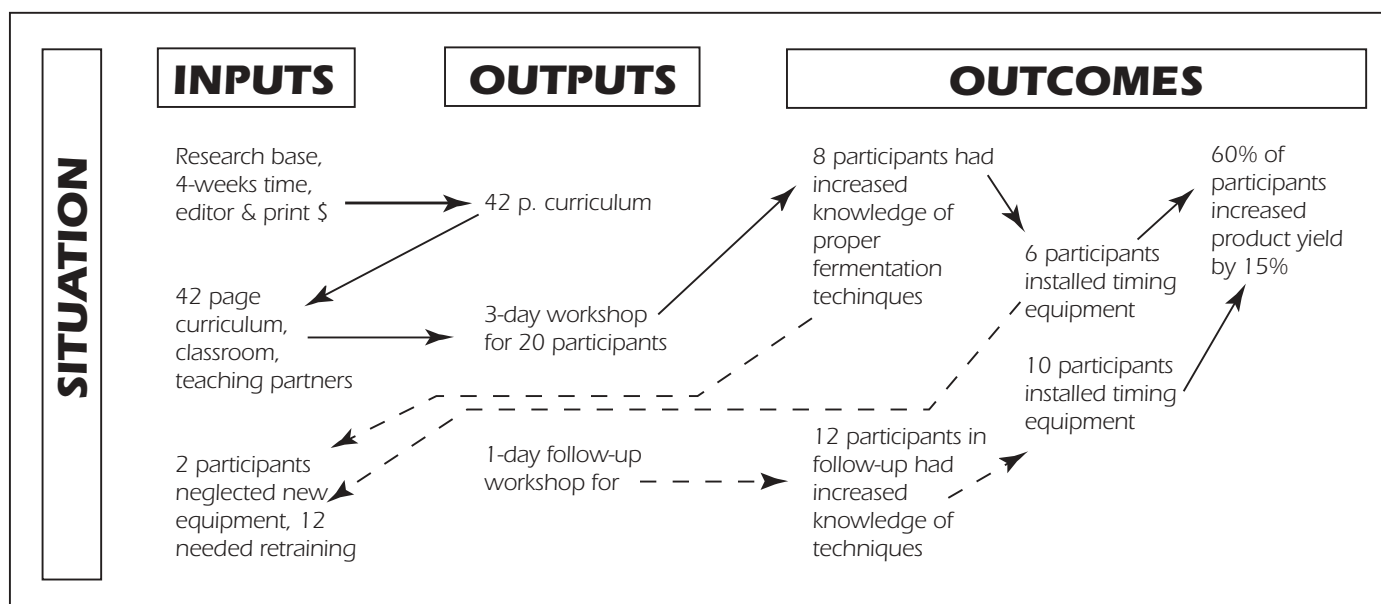
- 4) What knowledge or skills do people need before the behavior will change?
- 5) What activities need to be performed to cause the necessary learning?
- 6) What resources will be required to achieve the desired outcome?

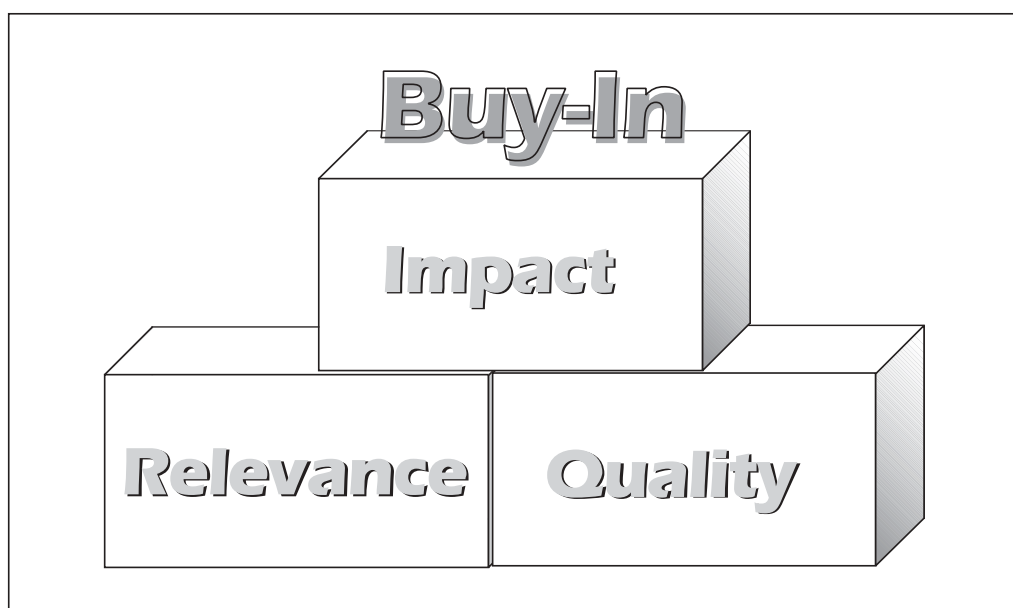
One more point before we begin planning a program using the logic model: It is recognized that we are using a linear model to simulate a multi-dimensional process. Often, learning is sequential and teaching must reflect that, but the model becomes too complicated if we try to communicate that reality (figure 2). Similarly, the output from one effort becomes the input for the next effort, as building a coalition may be required before the "group" can sponsor a needed workshop. Keep in mind that the logic model is a simple communication device. We should avoid complications by choosing to identify a single category to enter each item (i.e., inputs, outputs or outcomes). Details of order and timing then need to be addressed within the framework of the model, just as with other action planning processes.

### Planning Elements

Using the logic model as a planning tool is most valuable when we focus on what it is that we want to communicate to others. Figure 3 illustrates the building blocks of accountability that we can incorporate into our program plans (adapted from Ladewig, 1998). According to Howard Ladewig, there are certain characteristics of programs that inspire others to value and support what we do. By describing the characteristics of our programs that communicate relevance, quality, and impact, we foster buy-in from our stakeholders and audience. By including these characteristics within the various elements of the logic

**Figure 2.** Over-complicated, multi-dimensional planning model.



**Figure 3.** Structure of Accountability.

model, we communicate to others why our programs are important to them. The elements of accountability are further described in the context of the logic model, below.

### Situation

The situation statement provides an opportunity to communicate the relevance of the project. Characteristics that illustrate the relevance to others include:

- A statement of the problem, (What are the causes? What are the social, economic, and/or environmental symptoms of the problem? What are the likely consequences if nothing is done to resolve the problem? What are the actual or projected costs?);
- A description of who is affected by the problem (Where do they live, work, and shop? How are they important to the community? Who depends on them—families, employees, organizations?);
- Who else is interested in the problem? Who are the stakeholders? What other projects address this problem?

The situation statement establishes a baseline for comparison at the close of a program. A description of the problem and its symptoms provides a way to determine whether change has occurred. Describing who is affected by the problem allows assessment of who has benefited. Identifying other stakeholders and programs builds a platform to measure our overall contribution, including increased awareness and activity, or reduced concern and cost.

### Inputs

Inputs include those things that we invest in a program or that we bring to bear on a program, such as knowledge, skills, or expertise. Describing the inputs needed for a program provides an opportunity to communicate the quality of the program. Inputs that communicate to others that the program is of high quality include:

- human resources, such as time invested by faculty, staff, volunteers, partners, and local people;
- fiscal resources, including appropriated funds, special grants, donations, and user fees;
- other inputs required to support the program, such as facilities and equipment;
- knowledge base for the program, including teaching materials, curriculum, research results, certification or learning standards etc.
- involvement of collaborators - local, state, national agencies and organizations involved in planning, delivery, and evaluation.

Projects involving credible partners, built on knowledge gained from research and delivered via tested and proven curricula, are readily communicated as quality programs. Assessing the effectiveness of a program also is made easier when planned inputs are adequately described. By comparing actual investments with planned investments, evaluation can be used to improve future programs, justify budgets, and establish priorities.

### Outputs

Outputs are those things that we do (providing products, goods, and services to program customers) and the people we reach (informed consumers, knowledgeable decision

makers). Describing our outputs allows us to establish linkages between the problem (situation) and the impact of the program (intended outcomes). Outputs that help link what we do with program impact include:

- publications such as articles, bulletins, fact sheets, CISs, handbooks, web pages;
- decision aids such as software, worksheets, models;
- teaching events such as workshops, field days, tours, short courses;
- discovery and application activities, such as research plots, demonstration plots, and product trials.

The people we reach also are outputs of the program and need to be the center of our model. They constitute a bridge between the problem and the impact. Information about the people who participated and what they were taught can include:

- their characteristics or behaviors;
- the proportion or number of people in the target group that were reached;
- learner objectives for program participants;
- number of sessions or activities attended by participants;
- level of satisfaction participants express for the program.

## Outcomes

Program outcomes can be short-term, intermediate-term, or long-term. Outcomes answer the question “What happened as a result of the program?” and are useful to communicate the impacts of our investment.

Short-term outcomes of educational programs may include changes in:

- awareness—customers recognize the problem or issue;
- knowledge—customers understand the causes and potential solutions;
- skills—customers possess the skills needed to resolve the situation;
- motivation—customers have the desire to effect change;
- attitude—customers believe their actions can make a difference.

Intermediate-term outcomes include changes that follow the short-term outcomes, such as changes in:

- practices used by participants;
- behaviors exhibited by people or organizations;

- policies adopted by businesses, governments, or organizations;
- technologies employed by end users;
- management strategies implemented by individuals or groups.

Long-term outcomes follow intermediate-term outcomes when changed behaviors result in changed conditions, such as:

- improved economic conditions—increased income or financial stability;
- improved social conditions—reduced violence or improved cooperation;
- improved environmental conditions—improved air quality or reduced runoff;
- improved political conditions—improved participation or opportunity.

## External Influences

Institutional, community, and public policies may have either supporting or antagonistic effects on many of our programs. At the institutional level, schools may influence healthy eating habits in ways that are beyond our control but that may lead to social change.<sup>5</sup> Classes in health education may introduce children to the food pyramid and to the concept of proportional intake, while the cafeteria may serve pizza on Wednesdays and steak fingers on Thursdays. The community also can influence eating habits through availability of fast-food restaurants or produce markets. Even public policies that provide support (food bank, food stamps) to acquire some items but not others might impact healthy eating habits.

Documenting the social, physical, political, and institutional environments that can influence outcomes helps to improve the program planning process by answering the following:

- Who are important partners/collaborators for the program?
- Which part(s) of the issue can this project realistically influence?
- What evaluation measures will accurately reflect project outcomes?
- What other needs must be met in order to address this issue?

## Evaluation Planning

Development of an evaluation plan to assess the program can be superimposed, using the logic model format. The evaluation plan should include alternatives to assess the processes used in planning the program. Process indicators should be designed to provide a measurable response to questions such as:

- Were specific inputs made as planned, in terms of the amount of input, timing, and quality of input?
- Were specific activities conducted as planned, in terms of content, timing, location, format, quality?
- Was the desired level of participation achieved, in terms of numbers and characteristics of participants?
- Did customers express the degree of customer satisfaction expected?

The evaluation plan also should identify indicators appropriate to the desired outcomes, including short-, medium- and long-term outcomes. Outcome indicators also should be measurable, and should be designed to answer questions such as:

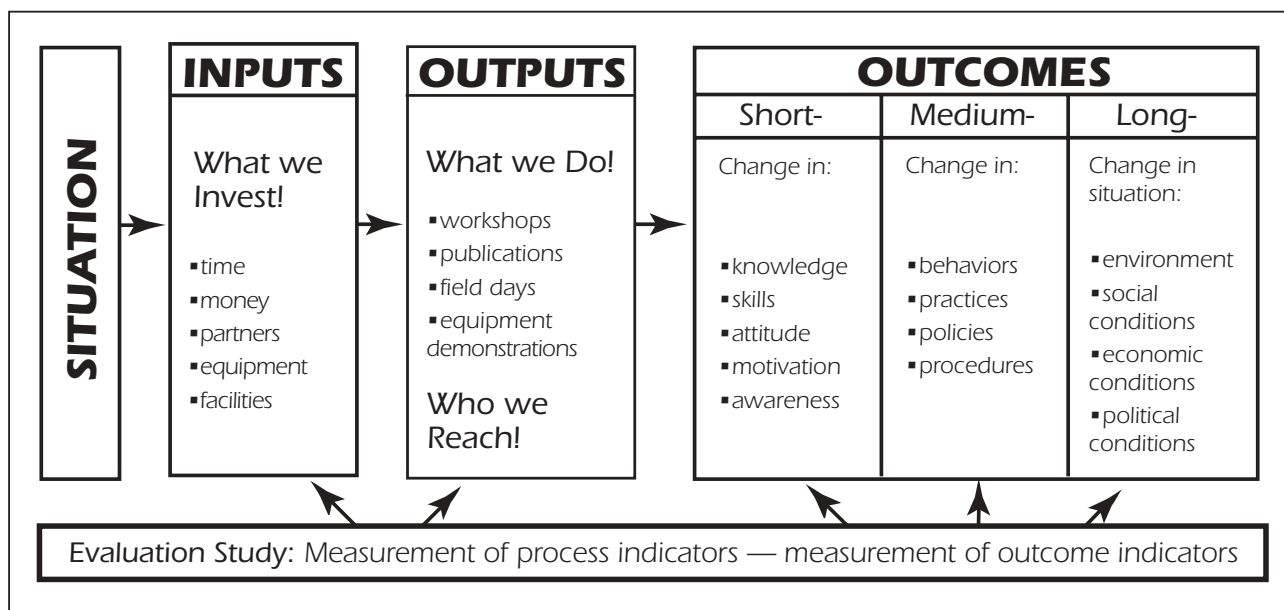
- Did participants demonstrate the desired level of knowledge increase, enhanced awareness, or motivation?
- Were improved management practices adopted, behaviors modified, or policies altered to the extent expected for the program?

- To what extent were social, economic, political, or environmental conditions affected by the program?

## Conclusion

Developing appropriate and measurable indicators during the planning phase is the key to a sound evaluation. Early identification of indicators allows the program manager/team to learn what baseline data already may be available to help evaluate the project, or to design a process to collect baseline data before the program is initiated. The logic model is useful for identifying elements of the program that are most likely to yield useful evaluation data, and to identify an appropriate sequence for collecting data and measuring progress. In most cases, however, more work on a project will be required before indicators are finalized. Outcome indicators to measure learning should be based on specific learner objectives that are described as part of the curriculum. Indicators to measure behavioral change should specify which behaviors are targeted by the program. Conditional indicators may require a significant investment of time to link medium-term outcomes to expected long-term outcomes through the application of a targeted study or relevant research base.

**Figure 4.** Insertion of evaluation plan into the logic model.



<sup>1</sup> McLaughlin, J.A. and G.B. Jordan. 1999. Logic models: a tool for telling your program's performance story. *Evaluation and Planning* 22:65-72.

<sup>2</sup> Millar, A., R.S. Simeone, and J.T. Carnevale. 2001. Logic models: a systems tool for performance management. *Evaluation and Program Planning* 24:73-81.

<sup>3</sup> Adapted from Taylor-Powell, E. 1999. Providing leadership for program evaluation. University of Wisconsin Extension, Madison.

<sup>4</sup> Ladewig, Howard. 1998-1999. Personal communication during sessions on "building a framework for accountability" with ECOP Program Leadership Committee (Tannersville, PA, 1998) and the Association of Extension Directors/ECOP (New Orleans, LA, 2000). Dr. Ladewig was a professor at Texas A&M University at the time of communication; he now is at the University of Florida.

<sup>5</sup> Glanz, K. and B.K. Rimer. 1995. Theory at a glance: a guide for health promotion practice. NIH pub. 95-3896. National Institutes of Health-National Cancer Institute. Bethesda, MD.

Issued in furtherance of cooperative extension work in agriculture and home economics, Acts of May 8 and June 30, 1914, in cooperation with the U.S. Department of Agriculture, A. Larry Branen, Acting Director of Cooperative Extension, University of Idaho, Moscow, Idaho 83844. The University of Idaho provides equal opportunity in education and employment on the basis of race, color, religion, national origin, age, gender, disability, or status as a Vietnam-era veteran, as required by state and federal laws.

Logic Model Template				
Project Title			Grant Period	
Project Description				
Resources	Activities/Methods	Outputs	Outcomes	Impacts
In order to accomplish set of activities, we will need the following:	In order to address our problem we will conduct the following activities:	We expect that these activities will produce the following evidence of service delivery	We expect changes in attitudes, behaviors, knowledge, skills resulted from this project	Organizational, community or procedural level changes resulted from this project.
Name of resources	Name of activities	Number of items	Increased number Percentage increase	Increased number Percentage increase
Other Results				
Anecdotal Information				
Exemplary Reason				

Logic Model Template				
Project Title			Grant Period	
<b>Project Description</b> <i>Describe the problem so you can focus on the desired outcome. Envision the solution: what needs to change; what knowledge or skills are needed for the change to happen; what activities are required; what resources are needed. Identify the potential impact.</i>				
Resources	Activities/Methods	Outputs	Outcomes	Impacts
In order to accomplish set of activities, we will need the following:	In order to address our problem we will conduct the following activities:	We expect that these activities will produce the following evidence of service delivery	We expect changes in attitudes, behaviors, knowledge, skills resulted from this project	Organizational, community or procedural level changes resulted from this project.
Name of resources  <i>What we invest:</i> - Time/Staff - Money - Partners - Equipment - Facilities - Knowledge Base	Name of activities  <i>What you do:</i> - Workshops - Publications - Publicity - Purchase Procedures	Number of items  <i>Quantitative</i>	Increased number Percentage increase  <i>Quantitative assessment</i> <i>Qualitative assessment</i>  <i>Often obtained through surveys or anecdotal information</i>  <i>Real-life stories</i>	Increased number Percentage increase  <i>Medium term:</i> - Changes in practice - Changes in policy - Changes in procedures  <i>Long term:</i> - Changes in situation (social, economic, political)

Missouri State Library Logic Model Example				
<b>Project Title</b> Our College Programs for Targeted Populations Project			<b>Grant Period</b> 9/1/2008 - 3/31/2009	
<b>Project Description</b> The non-traditional students who tele-commute to campus do not make use of our online resources. Our project seeks to address this by providing virtual tours of our online resources and by holding an online introduction to our four main databases including tips on how to perform efficient and effective searches. This will be done at the start of the Fall semester. We will especially target students new to our college. Sessions will be recorded and available on our website for use throughout the school year. Sessions will be updated at least annually.				
Resources	Activities/Methods	Outputs	Outcomes	Impacts
In order to accomplish this set of activities, we will need the following:	In order to address our problem we will conduct the following activities:	We expect that these activities will provide the following evidence of service delivery	We expect changes in attitudes, behaviors, knowledge, and skills as a result of this project	Organizational, community or procedural level changes resulting from this project
Grant Funding	Work with IT on mechanics	Number of patrons served	New patrons use databases	Improved Internet resource evaluation
Library Staff	Develop virtual tour	Number of online sessions	Online search skills improve	Use of resources leads to improved grades
IT Department	Develop online resources training targeting each of our four main databases	Number of training days	Authority of online resources established	Improved library skills
Technical Trainer Skills Workshop	Develop and utilize promotional materials for the virtual tours and online resources training  Provide virtual tours  Provide online resources training		Library skills increased	Improved lifelong learning skills
<b>Other Results</b>				
<b>Anecdotal Information</b>				
<b>Exemplary Reason</b>				

## **Grant Acceptance and Administration**

When you are awarded a grant, you will receive a packet from the Missouri State Library that contains the signed Grant Agreement, Grant Acceptance Form, and Application for Payment forms and other items pertaining to the administration of your grant. Interim and final report forms are posted on the Missouri State Library, Library Services and Technology Act (LSTA) Grant Programs page at <http://www.sos.mo.gov/library/development/lstagrants> in the LSTA Grant Report Forms section.

### **Grant Award Packet**

#### **1. Grant Agreement**

Specifies the terms and conditions of the grant award and its administrative and reporting requirements.

#### **2. Acceptance Form**

Be sure the proper signature is obtained and that the individual signs in the correct place

In the absence of THE authorizing official, who else can sign documents of this nature?

#### **3. Application for Payment Forms**

The first payment request can be submitted as soon as funds are encumbered on or **after the official project start date** AND the grantee must begin spending these funds within 45 days.

For long-term grants, a second payment request can be made in conjunction with the submission of the first interim report AND the grantee must begin spending these funds within 45 days.

The final payment request should not be submitted until project completion and in conjunction with the final report.

### **Online Forms**

#### **1. Procurement Certification**

- If your library has policies established regarding bidding for purchases, you should use those policies in administering the grant funds and to document the bid process through the use of the Procurement Certification form. Note, the procurement procedures you follow must reflect applicable State and local laws and regulations, and conform to applicable federal law and the standards identified in section 1183.36 of the Uniform Administration Requirements for Grants and Cooperative Agreements to State and Local Governments.

## 2. Report Forms

- a. **Interim and final narrative report forms:** Details the progress of your project throughout the grant period using a narrative format.
- b. **Interim and final financial report forms:** Used to indicate the status of the LSTA budget in spreadsheet format.
- c. **Payment Summary:** Gives a detailed account of what has been purchased and the source of funding for each item or service. It includes purchases made with local and/or LSTA funds.

### Grant Acceptance

#### **Long and Short Term Grants**

When we receive the signed Grant Acceptance Form, we consider the grant activated. The document must have original signatures, not copies or facsimiles. Keep a copy for your grant file.

#### **Ramifications**

By accepting grant funds, recipients agree to be bound by all applicable public policy requirements, many of which will be included by reference in the Grant Agreement. Failure to comply with the requirements may result in suspension or termination of the award and government recovery of funds. Failure to comply could also result in civil or criminal prosecution.

### Routine Grant Administration

#### **Grant File**

You should have one file that contains all of the paperwork associated with your grant. This includes:

- |   |  |
|---|--|
| 1. Original application                               | 8. Invoices  |
| 2. Grant Agreement Standard Terms and Conditions      | 9. Market analysis documentation                           |
| 3. Signed copy of the Grant Acceptance Form           | 10. Bid process documentation                              |
| 4. Signed copies of the Certifications and Assurances | 11. Promotional materials                                  |
| 5. Payment requests                                   | 12. Evaluation measures: statistics, surveys, etc.         |
| 6. Submitted reports                                  | 13. Documentation of contacts with the State Library staff |
| 7. Outstanding report and payment forms               |  |

**Reporting Requirements**

Long term grants typically have a one year grant period and require two interim reports and a final report. Short term grants typically have a grant period of six months or less and require only a final report. Summer Library Program grants require one interim report and a final report.

**Requesting Payments**

Funds must be encumbered BEFORE requesting first and second payments with expected payout of those funds within 45 days. The final payment request must be submitted along with your final report. Note: payment receipt may be delayed if grant reports are incomplete or inaccurate or where the timing of the request falls in relation to the LSTA draw down cycle.

### **Grant Agreement Standard Terms and Conditions**

THIS GRANT AGREEMENT TERMS AND CONDITIONS, THE ATTACHED APPLICATION AND THE ACCOMPANYING PURCHASE ORDER WILL SERVE AS THE GRANT AGREEMENT (HEREINAFTER REFERRED TO AS THE "AGREEMENT").

The return of the signed Grant Acceptance form shall constitute acceptance of this Agreement. This Agreement is entered into between the Missouri Office of the Secretary of State's State Library, (hereinafter, the "State Library") and the Grantee. In consideration of the mutual covenants, promises and representations in this Agreement, the parties agree as follows:

- (1) **PURPOSE:** The United States Congress pursuant to 20 U.S.C. §§ 9101 to 9123 has authorized funds to be used for improving library services. The purpose of this Agreement is to award to the Grantee the use of such funds, to be administered by the State Library, for the purposes specified in the grant application.
- (2) **GRANT PERIOD:** The grant period is specified in the Grant Acceptance form.
- (3) **PAYMENT:** Payment shall be made as follows:
  - (A.) The first payment shall be made within 45 days after the Grantee submits to the State Library the First Payment and signed Certifications and Assurances forms.
  - (B.) An interim payment for long term grant agreements, projects with a grant period of twelve months or longer, shall be made within 45 days after the Grantee submits to the State Library at least one Interim Report and the Request for Second Payment; provided that the State Library approves such reports and documentation.
  - (C.) A final payment shall be made within 45 days of receipt of all reports and documentation required under the terms of this Agreement; provided that the State Library approves such reports and documentation.
  - (D.) Any grant payment which includes travel shall be paid at the Office of Secretary of State's approved rates in effect at the time of the travel, or the grantees reimbursement rates, whichever is less.
- (4) **SCOPE OF GRANT:** The Grantee shall use the grant funds awarded under the terms of this Agreement as described in the Grantee's grant application which is attached and incorporated as part of this Agreement.
- (5) **NOTICE:** All notices, reports, or communications required by this Agreement shall be made in writing and shall be effective upon receipt by the Grantee or the State Library at their respective addresses of record. Either party may change its address of record by written notice to the other party.
  - (A.) **Notice to State Library:** Notices to the State Library shall be addressed and delivered to the following:  
 LSTA Grants Officer  
 Missouri State Library  
 600 W. Main  
 P.O. Box 387  
 Jefferson City, MO 65102-0387

- (B.) Notice to Grantee: Notices to the Grantee shall be addressed and delivered to the name and address on the Grant Award Acceptance form.
- (C.) Notice to Office of Administration: The Grantee shall notify the Office of Administration of the change of address through the Vendor Services Portal, Vendor Input/ACH-EFT Application at <https://www.vendorservices.mo.gov/vendorservices/Portal/Default.aspx>.
- (6) REPORTS: The Grantee shall submit to the State Library reports documenting the successful completion of all project activities pursuant to this Agreement. Required forms for submission of any Interim and Final Reports shall be included with this Agreement, along with instructions for completing the forms and instructions for inclusion of other project related materials as part of the Final Report.
- (7) PUBLICATION CREDIT: The grantee shall include in all publications or other materials produced in whole or in part with funds awarded under this Agreement the logo of the Institute of Museum and Library Services with the following text: "This (project/publication/activity) is supported by the Institute of Museum and Library Services under the provisions of the Library Services and Technology Act as administered by the Missouri State Library, a division of the Office of the Secretary of State".
- (8) RECORDS: The Grantee shall retain, for not less than five years from the termination date of the grant period, records documenting the expenditure of all funds provided by the State Library pursuant to this Agreement. The Grantee shall, upon request, provide to the State Library any records so retained.
- (9) AUDIT AND ACCOUNTING: The Grantee shall comply with the Single Audit Act, as amended, and OMB Circular No. A-133. The Grantee shall use adequate fiscal control and accounting procedures to disburse properly all funds provided by the State Library pursuant to this Agreement. The Grantee shall deposit unused funds provided pursuant to this Agreement in an interest bearing account and use any accrued interest from the account for the work and services to be provided pursuant to this Agreement.
- (10) LAW TO GOVERN: This Agreement shall be construed according to the laws of the state of Missouri. The Grantee shall perform all work and services in connection with this Agreement in conformity with applicable state and federal laws and regulations including, but not limited to, the LSTA, Executive Order 12549 which provides that persons debarred or suspended shall be excluded from financial and non-financial assistance and benefits under federal programs, the Single Audit Act, as amended, and OMB Circular No. A-133. Other applicable laws are listed in the appendix.
- (11) SUBCONTRACTING: The Grantee may subcontract work and services set forth in this Agreement, provided that the State Library shall not be liable to any subcontractor for any expenses or liabilities incurred under the subcontract. The Grantee shall be solely responsible for the services provided in connection with this Agreement and solely liable to any subcontractor for all expenses and liabilities incurred under the subcontract. For

contracts where the award is in excess of \$5,000, no contractor or subcontractor shall knowingly employ, hire for employment, or continue to employ an unauthorized alien to perform work within the state of Missouri. In accordance with sections 285.525 to 285.550, RSMo, to reduce liability, the State Library shall require any general contract binding a contractor and subcontractor to affirmatively state that: a) the direct subcontractor is not knowingly in violation of subsection 1 of section 285.530, RSMo, and b) shall not henceforth be in such violation and c) the contractor or subcontractor shall receive a sworn affidavit under the penalty of perjury attesting to the fact that the direct subcontractor's employees are lawfully present in the United States.

- (12) AMENDMENTS: Any change in this Agreement, whether by modification or supplementation, shall be accomplished by a formal written amendment signed and approved by the duly authorized representatives of the Grantee and the State Library, except that the Grantee may transfer an amount not to exceed five hundred dollars (\$500) from one budget item to another budget item designated in the Grantee's grant application without obtaining a formal written amendment.
- (13) INDEMNIFICATION: The Grantee shall be responsible for the acts, omissions to acts or negligence of the Grantee, its agents, employees and assigns. The Grantee shall hold harmless and indemnify the State Library, including its agents, employees and assigns, from every injury, damage, expense, liability or payment, including legal fees, arising out of any activities conducted by the Grantee in connection with or in any way relating to this Agreement.
- (14) SOVEREIGN IMMUNITY: The State of Missouri, its agencies and its subdivisions do not waive any defense of sovereign or official immunity upon entering into this Agreement.
- (15) INDEPENDENT CONTRACTOR: The Grantee, its agents, employees and assigns shall act in the capacity of an independent contractor in performance of this Agreement and not as an agent, employee or officer of the Office of the Secretary of State or the State Library.
- (16) HEADINGS: The underlined headings appearing within this instrument shall not be incorporated as part of this Agreement and are included only for the convenience of the reader.
- (17) ENTIRE AGREEMENT: This instrument embodies the whole agreement of the parties. No amendment shall be effective unless it is accomplished by a formal written amendment signed and approved by the duly authorized representatives of the Grantee and the State Library.
- (18) ACCESS: The Grantee, at any time during the grant period, shall provide to the State Library access to the site of the work being provided under this Agreement.
- (19) CFDA NUMBER: The Catalog of Federal Domestic Assistance number for this project is 45.310.

## **Appendix A**

### **Statutes and Regulations Pertaining to LSTA Grant Awards**

#### **1. Museum and Library Services Act**

20 USC Chapter 72 – Museum and Library Services

#### **2. General Regulation for Administering the Grants**

2 CFR 3187 Uniform Administrative Requirement, Cost Principles, and Audit Requirements for Federal Awards

#### **3. Regulations Governing Nondiscrimination**

- a. 2 CFR 3187.12 Federal statutes and regulations on nondiscrimination
- b. 45 CFR 1110- Nondiscrimination in Federally Assisted Programs

#### **4. Other Applicable Regulations**

- a. 2 CFR 3185 and 2 CFR 180 Nonprocurement Debarment and Suspension
- b. 2 CFR 3186 and 2 CFR 182 Requirements for Drug-Free Workplace

#### **5. State and local statutes and regulations**

- a. Rules of Elected Officials, Division 30 – Secretary of State, Chapter 200 – State Library
- b. Work Authorization Program – Sections 285.525-285.550, RSMo

3-1-7

**«Project\_Name» Grant Acceptance Form**

Library Name: **«Applicant\_Company\_Name»**  
Library Address: «Applicant\_Mailing\_Address»  
                    «Applicant\_City», MO «Applicant\_Zip»  
Grant Project Number: **«Grant\_ID»**  
Grant Program: **«Project\_Name»**  
Grant Type: **Short Term**  
Project Director: **«Proj\_Dir\_First\_Name» «Proj\_Dir\_Last\_Name»**  
Grant Period: **«Grant\_Begin\_Date» to «Grant\_End\_Date»**  
First Payment Amount: **\$«First\_Payment»**  
Final Payment Amount: **\$«Final\_Payment»**  
Total Grant Award Amount: **\$«Awarded\_Amount»**  
Amendment Threshold: **\$500**  
Final Report Due: **«Final\_Due\_Date»**

Please make two copies of this form. Sign each copy and indicate if the grant is accepted or declined. Keep one copy for the institution's records and return one copy to the Missouri State Library. The return of this form will activate the grant. Do not begin encumbering funds before the start of the grant period.

*We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program as well as the terms and conditions specified in the accompanying grant agreement and purchase order, "agreement", hereby incorporated by reference. We will carry out the grant project according to the approved grant proposal. This application has been authorized by the appropriate authorities of the applying library. By signing this application, the undersigned authority acknowledges compliance with and agreement to the "agreement" and all eligibility requirements.*

---

Signature of Authorized Individual

**Typed First and Last Name:**

**Job Title:**

**Date:**

**OR**

*We do not accept the grant and the funds can be reallocated to other projects.*

---

Signature of Authorized Individual

**Typed First and Last Name:**

**Job Title:**

**Date:**

## Forms for LSTA grants

**Generally, reports consist of the following items. Please use the report forms furnished in the online forms packet for the grant type awarded.**

1. **Financial Report:** List only LSTA Grant funds. Do not include local funds on the chart. **Please use exact figures.** Do not round.

*LSTA Amount Approved*—Enter the LSTA amount approved in each category as stipulated in the budget memo in the grant award packet. Do not change any of these figures. Changes can only be made after an amendment has been fully executed.

*LSTA Amount Spent This Period*—List amounts expended during this reporting period for each category.

*Amount Spent to Date*—List total amount of funds spent to date in each category, including the amount in LSTA Amount Spent This Period.

*LSTA Unspent Balance*—List what is left to spend. (LSTA Amount Approved minus LSTA Amount Spent to Date)

2. **Payment Summary:** Expenditures should be arranged by budget category. List the items purchased, invoice number, invoice date, name of vendor, LSTA funds spent, local funds spent, and total amount of each invoice. For expenditures related to personnel include the name of staff as Vendor, number of hours worked and services performed in Description, hours worked in Quantity, position status in Invoice Number, time of service in Invoice Date, and wages paid by funding source. Please make as many copies of this form as needed to complete the list. Retain original invoices as documentation for this grant.

**Example:**

Budget Category	Description of Item or Service	Quantity	Invoice Number	Invoice Date	Vendor	LSTA Funds	Local Funds	Total
Personnel	Computer installation	15 hours	Part-time IT staff	June 2015	Jane Smith	\$352.27	\$0	\$352.27
Equipment	Dell X9950 laptops with 3 year warranties	3	11761	5/01/2015	Dell	\$1,775.87	\$591.95	\$2,367.82

3. **Procurement Certification:** If applicable, complete the Procurement Certification form to show documentation of purchases for items or services of one type exceeding \$3,000 in the aggregate.
4. **Narrative Report:** The narrative report has two sections which must be completed to document the activities that occurred during the grant period:
  - **Preliminary Information:**
    - a. Time period covered in the report
    - b. Name, phone number and email address of the person making the report
    - c. Grant and local funds spent
    - d. Number of people impacted by the project during the grant period
    - e. Was the grantee subject to a Single Audit during the grant period
    - f. Number of records converted or images created, if applicable
  - **Narrative Report Questions**
    - a. **Activities:** List the project activities carried out during the reporting period.

- b. **Project Changes and Additions:** Describe any variations from the original grant application that took place in the project during this time. Document how the State Library was informed of and approved the changes.
  - c. **Financial Status:** How well are you adhering to the approved budget? Do you still anticipate spending all funds? The Grantee is allowed to transfer a total of \$500 without obtaining a formal written amendment. Is there a need to adjust the budget via a formal amendment? Note that an amendment must be completed BEFORE any purchases are made or services rendered.
  - d. **Outputs:** List evaluation measures that will show evidence of service delivery. What data can you document at this time?
  - e. **Outcomes:** What outcomes can you identify in the people served by this project? This includes changes in behavior, skills, attitudes, etc. Identify the overall impact the project has had on your library, the individuals served, and your community. Provide a summary of any survey responses received.
  - f. **Best Practices:** What lessons have you learned regarding working with the people impacted by this project? How will that experience contribute to best practices you can continue to use at your library?
  - g. **Project Promotion:** How did you promote the project within your library and community? Attach copies of support materials: publicity, announcements, instructor materials/handouts, evaluation instruments and results. Also indicate how you let the community know this project was funded through an IMLS-LSTA grant.
  - h. **Other:** Any other comments you feel are appropriate.
5. **Payment Request Form:** Complete all information on the payment request form in order to receive payment of your grant. If you did not expend all of the allowable funds, please adjust the final payment total by subtracting the amount not spent (the "unexpended balance" on your financial report).

## **Amendments**

Changes may be made formally and approved through a supplemental agreement or amendment to the original grant or informally through correspondence. Changes must be approved before committing LSTA funds. Do not rely on reimbursement of local funds spent before amendment is finalized. An amendment may be warranted by:

### **1. Budget changes**

- a. Moving over \$500 between existing budget categories
- b. Moving any funds into a budget category not in the grant award

### **2. Programmatic changes**

- a. Scope or objective of the project
- b. Extending the grant period
- c. Changes in key personnel if listed by name in the grant application
- d. Changes in subcontractor if listed by name in the grant application

Requests for Amendment must be submitted at least 3 weeks before the end of the grant period. Be sure you fill out the form completely including reasons/justifications for change. If approved, we will draft the Amendment to your Agreement. The library representative, the State Librarian and the Executive Deputy Secretary of State must sign the Amendment prior to placing any orders. The [Request for Amendment](#) form is available online on the Missouri State Library Grant Programs page.

Comment [WU1]: Corrected link-Terry

## **Project Promotion**

Receiving a LSTA grant is a recognition of excellence that should be shared with your community. As a recipient, you are required to acknowledge IMLS support and take steps to extend the award's impact on the community at large. Working with the media is one of the most economical ways to develop a strong, positive presence in your community. IMLS has developed guidelines designed to help you do that, particularly if your organization hasn't had much experience with media relations in the past. The Media tips are available at <http://www.imls.gov/recipients/grantee.aspx>.

**Guidelines for IMLS Acknowledgement**  
**from: [http://www.imls.gov/recipients/imls\\_acknowledgement.aspx](http://www.imls.gov/recipients/imls_acknowledgement.aspx)**

The Institute of Museum and Library Services (IMLS) requires public acknowledgement of the activities it supports. We have a logo and tag line that should be used in acknowledging our support. The guidelines for crediting IMLS are described below. You should use newspaper articles, op-ed pieces, radio interviews, and other media activities to extend the impact of your effort; our support should be mentioned in media activities related to your award. If you have any questions regarding the forms of acknowledgment, contact the Office of Communications and Government Affairs at 202-653-4757.

***Publicity Campaigns***

Please notify the Office of Communications and Government Affairs of media and outreach efforts involving activities supported by our awards. If you have questions, please contact our office to discuss proper acknowledgment of funding. We are always happy to receive samples of publications, advertisements, press kits, and press releases created as part of this outreach.

***Use of the IMLS Logo***

IMLS logos are available [here](#). The logo may be used in a variety of ways: on websites, multimedia materials, annual reports, newsletters, posters, news releases and press kits, educational materials, signage, banners, invitations to events, and even on your stationery. The logo should be legible and no smaller than 1.75" wide. Please review the [Logo Standards Guide](#) (PDF) before using the logo.

***Sample Tag Line***

The following acknowledgment may be used with or without the logo:

The Institute of Museum and Library Services is the primary source of federal support for the nation's 123,000 libraries and 17,500 museums. Through grant making, policy development, and research, IMLS helps communities and individuals thrive through broad public access to knowledge, cultural heritage, and lifelong learning.

**Guidelines for Activities Supported by Your Grant**

- **PUBLIC EVENTS:** At programs or public gatherings related to your award, acknowledge IMLS in remarks and in press materials; display the logo on signage.
- **PRINTED MATERIALS:** Acknowledge us as follows: "This project is made possible by a grant from the U.S. Institute of Museum and Library Services." For posters, use a size that makes the words "Institute of Museum and Library Services" legible from a distance.
- **WEBSITES:** Acknowledge us on your website.

## **Grant Monitoring**

### **Purpose**

The Missouri State Library is required to ensure that the agencies to which it awards LSTA funds administer them as proposed and in accordance with applicable law and rules.

Monitoring of a grant project is handled in several ways, including:

- Monitoring by phone calls
- Monitoring by informal e-mail communication
- Monitoring by formal reports required by grant agreements
  - Interim reports
  - Payment requests
  - Final reports to complete grant project evaluation
- Monitoring on-site visits provide the opportunity for Library Development Division staff to assist agencies in administering grants. The purpose of the monitoring visit is to:
  - Provide assistance in project implementation.
  - Verify that projects are being implemented as proposed.
  - Identify and assist in correcting problems in a timely manner.

The grant proposal and any project revisions provide the basis for the monitoring process. The project is expected to closely follow the proposal and any subsequently approved project revisions.

### **Process**

At minimum, your grant will be monitored through report reviews. Additional monitoring is dependent on a number of factors such as experience of the library in managing grants, uniqueness or complexity of the program, interest in observing operation of the equipment or program, irregularities in correspondence, library request, and sometimes location or timing.

Before the project is monitored by a visit, Division staff will contact the project director to set a mutually convenient date. Prior to the visit, a letter confirming the visit, along with other information about monitoring, will be sent. During the visit, Division staff will observe project operation, examine related documents, and meet with project staff to gather information about the project. After the visit, Division staff will prepare a written report. Copies of the report are sent to the library and to others as requested or required.



# Grantee Communications Kit

**Congratulations on Your Award!** Your grant from the Institute of Museum and Library Services is an outstanding achievement that should be shared with your community. This Grantee Communications Kit provides guidance for fulfilling your requirements and spreading the word about your grant project. It covers:

- [IMLS Acknowledgement Requirements](#)
- [The IMLS Grant Announcement Process and How to Benefit](#)
- [Tips for Sharing Your News with the Public](#)
- [IMLS Logos](#)

In addition to the guidelines that follow, please make the most of your connection with IMLS by staying in touch:

- Subscribe to our free e-mail newsletter, [Primary Source](#)
- Follow us on Twitter [@US IMLS](#).
- Like us on Facebook at [www.facebook.com/USIMLS](http://www.facebook.com/USIMLS).
- Read, subscribe, and contribute to our blog, UpNext: <http://blog.imls.gov>.
- Visit and subscribe to our YouTube Channel: [www.youtube.com/USIMLS](http://www.youtube.com/USIMLS).
- Subscribe to our RSS feed at [www.imls.gov/rss/news.aspx](http://www.imls.gov/rss/news.aspx).

If you have any questions, please contact Office of Communications and Government Affairs:

- Janelle Brevard, Director, Office of Communications and Government Affairs, [jbrevard@imls.gov](mailto:jbrevard@imls.gov)
- Giuliana Bullard, Senior Public Affairs Specialist, [gbullard@imls.gov](mailto:gbullard@imls.gov)
- Gladstone Payton, Congressional Affairs Officer, [gpayton@imls.gov](mailto:gpayton@imls.gov)
- Michael Davis, Public Affairs Specialist, [mdavis@imls.gov](mailto:mdavis@imls.gov)

Office of Communications and Government Affairs (OCGA)  
 Institute of Museum and Library Services  
 955 L'Enfant Plaza North, SW, Suite 4000  
 Washington, DC 20024-2135  
 Phone: 202-653-4757

We are happy to assist with your communications efforts!

## Links to Statutes and Regulations Pertaining to LSTA Grant Awards

### 1. Museum and Library Services Act

[20 USC Chapter 72 – Museum and Library Services](#)

### 2. General Regulation for Administering the Grants

[2 CFR 3187 Uniform Administrative Requirement, Cost Principles, and Audit Requirements for Federal Awards](#)

### 3. Regulations Governing Allowable Costs

[2 CFR 200 Subpart E – Cost Principles](#)

### 4. Regulations Governing Nondiscrimination

- a. [2 CFR 3185](#) and [2 CFR 180](#) Nonprocurement Debarment and Suspension
- b. [2 CFR 3186](#) and [2 CFR 182](#) Requirements for Drug-Free Workplace

### 5. State and local statutes and regulations

- a. [Rules of Elected Officials, Division 30 – Secretary of State, Chapter 200 – State Library](#)
- b. Work Authorization Program – RSMo Sections [285.525-285.550](#)

Comment [WU1]: Corrected link-Terry

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET.  
SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

**CERTIFICATIONS REGARDING: NONDISCRIMINATION; DEBARMENT AND  
SUSPENSION; DRUG-FREE WORKPLACE; FEDERAL DEBT STATUS; LOBBYING;  
AND TRAFFICKING IN PERSONS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. By signing this form, the authorizing official acknowledges compliance with and agreement to all statutes and regulations referenced herein. Further information may be obtained by contacting the Library Development Division of the Missouri State Library.

**1. Nondiscrimination**

The authorized representative, on behalf of the applicant, certifies that the library will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability (note: IMLS applies the regulations in 45 C.F.R. part 1170 in determining compliance with § 504 as it applies to recipients of Federal assistance);
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681–83, 1685–86), which prohibits discrimination on the basis of sex in education programs; and
- (d) The Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age.

**2. Debarment and Suspension**

As required by 2 C.F.R. part 3185, the authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the library nor any of its principals for the proposed project:

- (a) Are presently excluded or disqualified;
- (b) Have been convicted within the preceding three years of any of the offenses listed in 2 C.F.R. part 180.800(a) or had a civil judgment rendered against it or them for one of those offenses within that time period;
- (c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses listed in 2 C.F.R. part 180.800(a); or
- (d) Have had one or more public transactions (Federal, State, or local) terminated within the preceding three years for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, the authorized representative shall attach an explanation to this form.

The Applicant, as a primary tier participant, is required to comply with 2 C.F.R. part 180 subpart C (Responsibilities of Participants Regarding Transactions Doing Business with Other Persons) as a condition of participation in the award. The applicant is also required to communicate the requirement to comply with 2 C.F.R. part 180 subpart (Responsibilities of Participants 2 Regarding Transactions Doing Business with Other Persons) to persons at the next lower tier with whom the applicant enters into covered transactions.

**3. Drug-Free Workplace**

The authorized representative, on behalf of the applicant, certifies, as a condition of the award, that the applicant will or will continue to provide a drug-free workplace by complying with the requirements in 2 C.F.R. part 3186 (Requirements for Drug-Free Workplace (Financial Assistance)). In particular, the applicant as the recipient must comply with drug-free workplace requirements in subpart B of 2 C.F.R. part 3186, which adopts the Government-wide implementation (2 C.F.R. part 182) of sections 5152-5158 of the Drug-Free Workplace Act of 1988 (P. L. 100-690, Title V, Subtitle D; 41 U.S.C. §§ 701-707).

This includes, but is not limited to: making a good faith effort, on a continuing basis, to maintain a drug-free workplace; publishing a drug-free workplace statement; establishing a drug-free awareness program for the applicant's employees;

taking actions concerning employees who are convicted of violating drug statutes in the workplace; and identifying (either at the time of application or upon award, or in documents that the applying library keeps on file in its offices) all known workplaces under its Federal awards.

#### **4. Federal Debt Status**

The authorized representative, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any Federal debt.

#### **5. Certification Regarding Lobbying Activities (Applies to Applicants Requesting Funds in Excess of \$100,000) (31 U.S.C. § 1352)**

The authorized representative certifies, to the best of his or her knowledge and belief, that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the authorized representative, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant, as provided in 31 U.S.C. § 1352) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the authorized representative shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The authorized representative shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

#### **6. Certification Regarding Trafficking in Persons**

The applicant must comply with Federal law pertaining to trafficking in persons. Under 22 U.S.C. §7104(g), any grant, contract, or cooperative agreement entered into by a Federal agency and a private entity shall include a condition that authorizes the Federal agency (IMLS) to terminate the grant, contract, or cooperative agreement, if the grantee, subgrantee, contractor, or subcontractor engages in trafficking in persons, procures a commercial sex act, or uses forced labor. 2 C.F.R. part 175 requires IMLS to include the following award term:

As a subrecipient or partner under this award your employees may not engage in severe forms of trafficking in persons during the period of time that the award is in effect; procure a commercial sex act during the period of time that the award is in effect; or use forced labor in the performance of the award or subawards under the award.

This certification is a material representation of fact upon which reliance is placed when the transaction is made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by 31 U.S. C. § 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### **7. Native American Human Remains and Associated Funerary Objects**

If applicable, the authorized representative, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. §3001 *et seq*), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

#### **8. General Certification**

The authorized representative, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program. As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

4-2-5

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Signature of Authorized Certifying Official

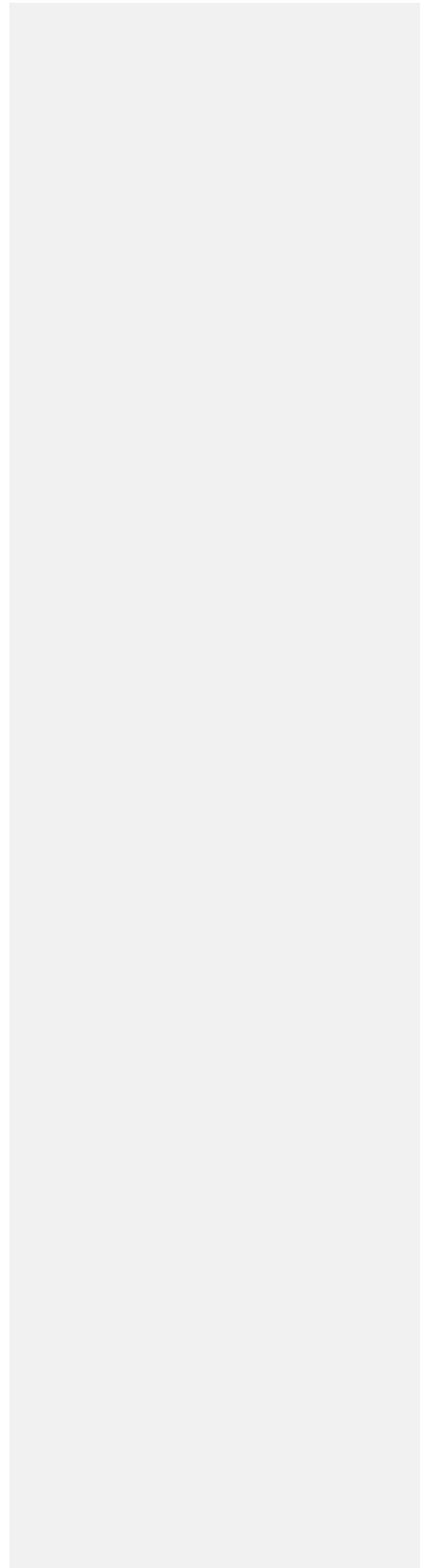
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Print name **and** Title of Authorized Certifying Official

---


Date

4/2015

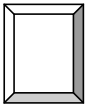


**INTERNET SAFETY CERTIFICATION FOR APPLICANT PUBLIC LIBRARIES  
PUBLIC ELEMENTARY AND SECONDARY SCHOOL LIBRARIES, and  
CONSORTIA WITH PUBLIC AND/OR PUBLIC SCHOOL LIBRARIES**

As the duly authorized representative of the applicant library, I hereby certify that the library is (check only one of the following boxes)

- A.  CIPA Compliant (*The applicant library has complied with the requirements of Section 9134(f)(1) of the Library Services and Technology Act.*)

**OR**

- B.  The CIPA requirements do not apply because no funds made available under the LSTA program are being used to purchase computers to access the Internet, or to pay for direct costs associated with accessing the Internet.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Printed Name of Authorized Representative

\_\_\_\_\_  
Title of Authorized Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Applicant Library/Program

**EXHIBIT**

4-2-6

**BUSINESS ENTITY CERTIFICATION, ENROLLMENT DOCUMENTATION,  
AND AFFIDAVIT OF WORK AUTHORIZATION**

**BUSINESS ENTITY CERTIFICATION:**

The **bidder/contractor** must certify their current business status by completing either Box A or Box B or Box C on this Exhibit.

- |               |   |
|---------------|---|
| <b>BOX A:</b> | To be completed by a non-business entity as defined below.  |
| <b>BOX B:</b> | To be completed by a business entity who has not yet completed and submitted documentation pertaining to the federal work authorization program as described at <a href="http://www.dhs.gov/files/programs/gc_1185221678150.shtm">http://www.dhs.gov/files/programs/gc_1185221678150.shtm</a> . |
| <b>BOX C:</b> | To be completed by a business entity who has current work authorization documentation on file with a Missouri state agency including Division of Purchasing and Materials Management.   |

**Business entity**, as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, is any person or group of persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood. The term “**business entity**” shall include but not be limited to self-employed individuals, partnerships, corporations, contractors, and subcontractors. The term “**business entity**” shall include any business entity that possesses a business permit, license, or tax certificate issued by the state, any business entity that is exempt by law from obtaining such a business permit, and any business entity that is operating unlawfully without such a business permit. The term “**business entity**” shall not include a self-employed individual with no employees or entities utilizing the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

Note: Regarding governmental entities, business entity includes Missouri schools, Missouri universities (other than stated in Box C), out of state agencies, out of state schools, out of state universities, and political subdivisions. A business entity does not include Missouri state agencies and federal government entities.

**BOX A – CURRENTLY NOT A BUSINESS ENTITY**

I certify that \_\_\_\_\_ (Company/Individual Name) **DOES NOT CURRENTLY MEET** the definition of a business entity, as defined in section 285.525, RSMo pertaining to section 285.530, RSMo as stated above, because: (check the applicable business status that applies below)

- ☐ I am a self-employed individual with no employees; **OR**
- ☐ The company that I represent employs the services of direct sellers as defined in subdivision (17) of subsection 12 of section 288.034, RSMo.

I certify that I am not an alien unlawfully present in the United States and if \_\_\_\_\_ (Company/Individual Name) is awarded a contract for the services requested herein under \_\_\_\_\_ (Bid/SFS/Contract Number) and if the business status changes during the life of the contract to become a business entity as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, then, prior to the performance of any services as a business entity, \_\_\_\_\_ (Company/Individual Name) agrees to complete Box B, comply with the requirements stated in Box B and provide the \_\_\_\_\_ (insert agency name) with all documentation required in Box B of this exhibit.

\_\_\_\_\_  
Authorized Representative's Name (Please Print)

\_\_\_\_\_  
Authorized Representative's Signature

\_\_\_\_\_  
Company Name (if applicable)

\_\_\_\_\_  
Date

**EXHIBIT 1, continued**

*(Complete the following if you DO NOT have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box B, do not complete Box C.)*

**BOX B – CURRENT BUSINESS ENTITY STATUS**

I certify that \_\_\_\_\_ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530.

\_\_\_\_\_  
Authorized Business Entity Representative's  
Name (Please Print)

\_\_\_\_\_  
Authorized Business Entity  
Representative's Signature

\_\_\_\_\_  
Business Entity Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
E-Mail Address

As a business entity, the **bidder/contractor** must perform/provide each of the following. The **bidder/contractor** should check each to verify completion/submission of all of the following:

- ☐ Enroll and participate in the E-Verify federal work authorization program (Website: <https://www.uscis.gov/e-verify>) Phone: 888-464-4218; Email: [e-verify@dhs.gov](mailto:e-verify@dhs.gov)) with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required herein; AND
- ☐ Provide documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page listing the **bidder's/contractor's** name and company ID OR a page from the E-Verify Memorandum of Understanding (MOU) listing the **bidder's/contractor's** name and the MOU signature page completed and signed, at minimum, by the **bidder/contractor** and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the **bidder's/contractor's** name and company ID, then no additional pages of the MOU must be submitted; AND
- ☐ Submit a completed, notarized Affidavit of Work Authorization provided on the next page of this Exhibit.

Comment [WU1]: Corrected link-Terry

**AFFIDAVIT OF WORK AUTHORIZATION:**

The **bidder/contractor** who meets the section 285.525, RSMo, definition of a business entity must complete and return the following Affidavit of Work Authorization.

Comes now \_\_\_\_\_ (Name of Business Entity Authorized Representative) as \_\_\_\_\_ (Position/Title) first being duly sworn on my oath, affirm \_\_\_\_\_ (Business Entity Name) is enrolled and will continue to participate in the E-Verify federal work authorization program with respect to employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri for the duration of the contract(s), if awarded in accordance with subsection 2 of section 285.530, RSMo. I also affirm that \_\_\_\_\_ (Business Entity Name) does not and will not knowingly employ a person who is an unauthorized alien in connection with the contracted services provided under the contract(s) for the duration of the contract(s), if awarded.

*In Affirmation thereof, the facts stated above are true and correct. (The undersigned understands that false statements made in this filing are subject to the penalties provided under section 575.040, RSMo.)*

_____ Authorized Representative's Signature	_____ Printed Name
_____ Title	_____ Date
_____ E-Mail Address	_____ E-Verify Company ID Number

Subscribed and sworn to before me this \_\_\_\_\_ of \_\_\_\_\_. I am  
(DAY) (MONTH, YEAR)  
commissioned as a notary public within the County of \_\_\_\_\_, State of  
(NAME OF COUNTY)  
\_\_\_\_\_, and my commission expires on \_\_\_\_\_.  
(NAME OF STATE) (DATE)

_____ Signature of Notary	_____ Date
------------------------------	---------------

*(Complete the following if you have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box C, do not complete Box B.)*

**BOX C – AFFIDAVIT ON FILE - CURRENT BUSINESS ENTITY STATUS**

I certify that \_\_\_\_\_ (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530, RSMo, and have enrolled and currently participates in the E-Verify federal work authorization program with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri. We have previously provided documentation to a Missouri state agency or public university that affirms enrollment and participation in the E-Verify federal work authorization program. The documentation that was previously provided included the following.

- ✓ The E-Verify Employment Eligibility Verification page OR a page from the E-Verify Memorandum of Understanding (MOU) listing the **bidder's/contractor's** name and the MOU signature page completed and signed by the **bidder/contractor** and the Department of Homeland Security – Verification Division
- ✓ A current, notarized Affidavit of Work Authorization (must be completed, signed, and notarized within the past twelve months).

Name of **Missouri State Agency** or **Public University\*** to Which Previous E-Verify Documentation Submitted: \_\_\_\_\_

(\*Public University includes the following five schools under chapter 34, RSMo: Harris-Stowe State University – St. Louis; Missouri Southern State University – Joplin; Missouri Western State University – St. Joseph; Northwest Missouri State University – Maryville; Southeast Missouri State University – Cape Girardeau.)

**Date** of Previous E-Verify Documentation Submission: \_\_\_\_\_

Previous **Bid/Contract Number** for Which Previous E-Verify Documentation Submitted: \_\_\_\_\_

(if known)

\_\_\_\_\_  
Authorized Business Entity Representative's  
Name (Please Print)

\_\_\_\_\_  
Authorized Business Entity  
Representative's Signature

\_\_\_\_\_  
E-Verify MOU Company ID Number

\_\_\_\_\_  
E-Mail Address

\_\_\_\_\_  
Business Entity Name

\_\_\_\_\_  
Date

**FOR STATE USE ONLY**

Documentation Verification Completed By:

\_\_\_\_\_  
Buyer

\_\_\_\_\_  
Date

## Missouri State Library LSTA Grants Procurement Requirements

**PLEASE NOTE:** If your library has policies established regarding bidding for purchases, you are encouraged to use those policies in administering the grant funds. "Grantees and subgrantees will use their own procurement procedures which reflect applicable State and local laws and regulations, provided that the procurements conform to applicable federal law and the standards identified in [section 1183.36]."

The attached Procurement Certification form is to be used to document bid processes of expenditures for identical goods or services over \$3,000. (Example – 18 identical laptop computers @ \$1,800 each = \$32,400). If equipment is purchased through the State Contract, you are not required to obtain additional bids from other sources. Simply state on the Procurement Certification form that the contract was awarded on the basis of State Contract.

The Library Services and Technology Act (LSTA) is governed by the federal regulations in 2 CFR 3187 and 2 CFR 200. You may wish to check the section on Procurement Requirements, found at 2 CFR sections 200.310 through 326. All federal grants are required to be in compliance with the Office of Management and Budget (OMB) cost principles listed in 2 CFR 200. Per 2 CFR 200.88, the threshold for procurement using small purchase procedures is set at \$150,000. If small purchase procedures are used, price or rate quotations shall be obtained from an adequate number of qualified sources per 2 CFR 200.320.

**For purchases of equipment over \$3,000 in aggregate—**Report the price and rate quotations you obtained through:

1. Informal Method - Requests for proposals from an "adequate number of qualified sources," which may be three or more sources, however, if only one proposal is acquired in a non-competitive proposal, the library must show that there is only one source, or competitive or sealed bids have failed to produce a list of interested vendors.

**OR**

2. Formal Method - Public advertising for sealed bids and a fixed-price contract awarded to "The responsible bidder whose bid, conforming with all the material terms and conditions of the invitation for bids, is the lowest in price."

Publicly listed price quotations may be gathered from such sources as Internet web pages or catalog advertisements; these may be counted as price & rate quotations. Keep all printouts and/or photocopies of quotations on file at your library; send us only the Procurement Certification form.

**For purchases over \$150,000—**Public advertising for sealed bids is required and a fixed-price contract is to be awarded to the lowest bidder (see 2 CFR 320 for more details).

**Library Services and Technology Act Grant Program,  
Administered by the Missouri State Library, a Division of  
The Office of the Secretary of State  
PROCUREMENT CERTIFICATION**

**Library:** \_\_\_\_\_ **Grant Number:** \_\_\_\_\_

1. Sealed Bids were received: \_\_\_\_\_yes \_\_\_\_\_no

If yes, these are the results:

a.	Bidder	name: Amount: _____
b.	Bidder	name: Amount: _____
c.	Bidder	name: Amount: _____
d.	Bidder	name: Amount: _____
e.	Bidder name: _____	Amount: _____

The Contract was awarded to: \_\_\_\_\_

on the basis of: \_\_\_\_\_ low bid, or \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(state reasons)

2. By direct queries via telephone, email, letter, or fax: \_\_\_\_\_yes \_\_\_\_\_no

If yes, these are the results:

a.	Bidder	name: Amount: _____
b.	Bidder	name: Amount: _____
c.	Bidder	name: Amount: _____
d.	Bidder	name: Amount: _____
e.	Bidder name: _____	Amount: _____

The Contract was awarded to: \_\_\_\_\_

on the basis of: \_\_\_\_\_ low bid, or \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(state reasons)

3. The vendor and the product chosen were a sole source: \_\_\_\_\_yes \_\_\_\_\_no

This fact was ascertained by the following steps. (Show how you reached this conclusion below. If necessary, attach another sheet.)

I hereby certify by my signature that the above statements are true and factual to the best of my knowledge:

\_\_\_\_\_  
Library Director's Signature *(Please sign in blue ink.)*

\_\_\_\_\_  
Date

## ABBREVIATIONS

Abbreviation:	Stands For:
AASL	American Association of School Libraries
ADA	Americans with Disabilities Act
AEL	Adult Literacy & Education
ALA	American Library Association (or American Literacy Assoc.)
ALCTS	Association for Library Collections & Technical Svcs. (A division of ALA)
ALSC	Association for Library Service to Children (A division of ALA)
ALTA	Association of Library Trustees and Advocates (A division of ALA)
ASCLA	Association of Specialized and Cooperative Library Agencies (A division of ALA)
Bibliostat	An online program used to dissect and analyze library statistics
CAAL	Council for Advancement of Adult Literacy
CAN	Designation to show the year money (federal) given to us
CE	Continuing Education
CIPA	Children's Internet Protection Act
COABE	COmmission on Adult Basic Education Inc.
DDC	Dewey Decimal Classification
DESE	Dept. of Elementary & Secondary Education
DOC	Dept. of Corrections
ECRR	Every Child Ready to Read
EFT	Electronic Funds Transfer
ELL	English Language Learners
E-Rate	Telecommunication discount program for libraries regulated by FCC
ESL	English As a Second Language
ESOL	English Speakers of Other Languages
FAQ	Frequently Asked Questions
FCC	Federal Communications Commission
FOL	Friends of the Library
FSCS	Federal-State Cooperative System (for Public Library Data)
GED	General Educational Development
GEDC	GED Connection
GOB	Governor's Office Building
HTML	Hypertext Mark-up Language
HTTP	Hypertext transfer protocol
IFLA	International Federation of Library Associations and Institutions
ILL	Interlibrary Loan
IMLS	Institute of Museum and Library Services
IP	Internet Protocol
ISBN	International Standard Book Number
KCMLIN	Kansas City Metropolitan Library and Information Network
KET	Kentucky Educational Television
LAMA	A division of ALA
LAN	Local Area Network
LC	Library of Congress
LCCN	Library of Congress Card Number

<b>Abbreviation:</b>	<b>Stands For:</b>
LEP	Limited English Proficient
LIFT	Literacy Investment for Tomorrow
LITA	Library and Information Technology Association
LSTA	Library Services and Technology Act
LVA	Literacy Volunteers of America
MALA	Mid-America Library Alliance
MARC	Machine Readable Cataloging (or Mid America Regional Council)
MASL	Missouri Association of School Librarians
MCB	Missouri Center for the Book
MCDC	Missouri Census Data Center
MLA	Missouri Library Association (or Missouri Literacy Association)
MLNC	Missouri Library Network Corporation
MLS	Master's Degree in Library Science
MOBIUS	Missouri Bibliographic Information User System
MOFLI	Missouri Family Literacy Institute
MOLli	Missouri Online Library
MOREnet	Missouri Research and Education Network
MOSL	Missouri State Library
NAAL	National Assessment of Adult Literacy
NALP	National Assessment for Educational Progress
NALS	National Adult Literacy Survey
NCAL	National Center for Adult Literacy
NCES	National Center for Educational Statistics
NCFL	National Center for Family Literacy
NCLIS	U.S. National Commission on Libraries and Information Science
NEMO	Northeast Missouri Library Service
NIFL	National Institute for Literacy
NISO	National Information Standards Organization
NLA	National Library Association
NLS	National Library Service for the Blind and Physically Handicapped
OA	Office of Administration
OBE	Outcome Based Evaluation
OCLC	Online Computer Library Corporation
OPAC	Online Public Access Catalog
OSEDA	Office of Social and Economic Data Analysis
OVAE	Office of Vocational and Adult Education
PCTT	Parent Child Together Time
PDQ	In SAM II - Decentralized Purchase Order
PGQ	In SAM II - Quick Price Agreement Order
PIRC	Parent Information & Resource Center (LIFT Associated)
PPPC	Practical Parenting Partnerships Center
PVE	In SAM II - Expense Report
RC	In SAM II - Receiver
RCEW	Regional Center for Educational Work
REAL	Remote Electronic Access for Libraries
RFQ	Request for Quotation

<b>Abbreviation:</b>	<b>Stands For:</b>
SAM II	Statewide Advantage for Missouri (State's accounting system)
SC	In SAM II - Service Contract
SCALE	Student Coalition for Action in Literacy Education
SCS	In SAM II - Simplified Service Contract
SLAA	State Library Administrative Agency
SLD	School and Library Division
SOS	Secretary of State
SRP	Summer Reading Program
TESOL	Teachers of English to Speakers of Other Languages
TMI	Too Much Information
TSRP	Teen Summer Reading Program
USAC	Universal Services Administrative Company
VALUE	Voice for Adult Literacy United for Education
VISTA	Volunteers in Service to America
WES	Workplace Essentials Skills
YA	Young Adult
YALSA	Young Adult Library Services Assoc.(A division of ALA)

## GRANT RELATED WEBSITES

### 1. **Federal Agencies**

Institute of Museum and Library Services

<http://www.ims.gov/>

Main Entrance to Federal Websites

<http://www.firstgov.gov>

Electronic Storefront for Federal Grants

<http://www.grants.gov/>

### 2. **Missouri State Library**

Missouri State Library – Library Development Division – Grants page

<http://www.sos.mo.gov/library/development/1stagrant>.

### 3. **OMB OMNI CIRCULAR**

The Office of Management and Budget (OMB), working cooperatively with federal agencies and non-federal parties, establishes government-wide grants management policies and guidelines through circulars and common rules. These policies are adopted by each grantmaking agency and inserted into their federal regulations.

On December 26, 2013, OMB published its comprehensive overhaul of federal grant administrative, cost accounting, and audit policies in the Federal Register, to be codified in Title 2 of the Code of Federal Regulations. This final guidance, *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards*, supersedes and combines the requirements of eight existing OMB Circulars (A-21, A-50, A-87, A-89, A-102, A-110, A-122 and A-133).

The Uniform Guidance (2 CFR Part 200) is effective December 26, 2014, and it governs the expenditure of Federal awards.

### 4. **Federal Government Grant Sites**

CFDA: CATALOG OF FEDERAL DOMESTIC ASSISTANCE

<http://www.cfda.gov/>

The Catalog of Federal Domestic Assistance (CFDA) is a government-wide compendium of federal programs, projects, services, and activities, which provide assistance or benefits to the American public. It contains financial and nonfinancial assistance programs administered by departments and establishments of the federal government. Federal contracts, by PL-95-224, are Procurement, not Assistance; therefore, there are never any CFDA numbers issued for contracts. A grant from the United States Agency for International Development (AID) or other US State Department activities for foreign assistance will also not have CFDA numbers.

## CFR: THE CODE OF FEDERAL REGULATIONS

<http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>

The Code of Federal Regulations is a codification of the general and permanent rules published in the Federal Register by the Executive departments and agencies of the Federal Government. The CFR is available online and in a paper edition through the Government Publications Office (GPO) Superintendent of Documents Sales service.

The CFR is divided into 50 titles which represent broad areas subject to Federal regulation. Each title is divided into chapters which usually bear the name of the issuing agency. (See: Alphabetical List of Agencies Appearing in the CFR-- extracted from the January 1, 1998, revision of the CFR Index and Finding Aids -- pp. 1001-1009.) Each chapter is further subdivided into parts covering specific regulatory areas. Large parts may be subdivided into subparts. All parts are organized in sections, and most citations to the CFR will be provided at the section level.

## **Funding Sources**

### **Arch W. Shaw Foundation**

Grants range from \$1,000 to \$50,000 and include support for general operating expenses, capital campaigns, building and renovation projects, equipment, etc.

### **Barbara Bush Foundation for Family Literacy**

Up to \$650,000 in grants will be administered each year with individual grantees receiving up to \$65,000 each. This foundation funds family literacy initiatives and literacy programs that must include: Reading instruction for parents or primary care-givers; literacy or pre-literacy instruction for children; and Intergenerational activities where the parents/primary caregivers and children come together to learn and to read.

### **Best Buy Children's Foundation – Community Grants**

Applications are accepted from nonprofit organizations for projects that give teens access to opportunities through technology and are located within 50 miles of a Best Buy store or other facility.

### **Boeing Community Engagement**

Provides grants to non-profit qualified charitable or educational organizations or accredited K-12 educational institution. Projects must involve one of the five following focal areas: education; health and human services; arts and culture, civic engagement and the environment. For additional information see [Grant-Making Guidelines for Missouri](#).

### **Build a Bear Workshop Grants**

Direct support for children in literacy and education programs such as summer reading programs, early childhood education programs, and literacy programs for children with special needs. The Foundation strives to be geographically diverse in its giving within the United States and Canada. Priority is given to organizations located near Build-A-Bear Workshop stores. Applications are accepted January through March.

### **Commerce Bancshares Foundation**

Interests are in arts, civic improvement, education, and health and human services.

### **Community Development Block Grant**

For community development and revitalization purposes, primarily benefiting people with low to moderate incomes. There is also a special focus on youth programs, including mentoring, tutoring, enrichment activities, employment services, and transitional support for youth aging out of foster care. Federal regulations specify that up to 15 percent of total block funds can be used to support public services. See [Using CBDG to Support Community-Based Youth Programs](#) by Roxana Torrico.

### **Cooper Clark Foundation**

Provides grant funds to Baca County, Cheyenne County, Kiowa County, Kit Carson county, Lincoln County, and Multi-state awards. Grant types include Capital Improvement/Purchase, Equipment Purchase, Start-Up/Seed Money. (303)-624-7699 PO Box 2707 Liberal, KS 67905-2707

### **Dollar General Grant Programs**

Offers a variety of grant opportunities including Adult Literacy, Back-to-School, Beyond Words, Family Literacy and Youth Literacy.

### **Elaine Feld Stern Charitable Trust**

Support is for services addressing sexual assault, for children with visual impairments, stroke victims, a health center, and higher education. Contributions range from \$1,000 to \$15,000.

### **Ezra Jack Keats Mini-Grants**

This foundation awards Ezra Jack Keats mini-grants of \$350. These mini-grants are to be used for projects that instill a love of literature in children and that foster literacy and creativity. The foundation considers funding innovative workshops, lectures, and festivals, as well as activities aimed at parents of preschool children. **Deadline: September 15th, each year**

### **FINRA Investor Education Foundation**

Through our General Grant Program, the FINRA Investor Education Foundation funds research and educational projects that support its mission of providing underserved Americans with the knowledge, skills and tools necessary for financial success throughout life.

### **The Foundation Center**

The Foundation Center is looking for institutions such as libraries and community centers to be "free funding information centers" by housing their Cooperation Collections in libraries of all types that serve under-resourced and under-served populations. The Cooperative Collection is a core collection of Foundation Center publications, a variety of supplemental materials and services in areas useful to grant-seekers plus access to FC Search: The Foundation Database on CD-ROM. **Deadlines: April 1 or Oct. 1, each year.**

### **Francis Families Foundation**

The Foundation focuses its funding in the areas of pulmonary research, lifelong learning with a particular emphasis on early childhood development, and arts and culture. Grants to educational organizations are limited to a sixty mile radius of Kansas City. Grants range from \$250 to \$409,000.

### **George K. Baum Foundation**

Located in Kansas City, this foundation provides grants ranging from \$50 to \$200,000. Appears to prefer local organizations and institutions.

### **Helen S. Boylan Foundation**

The foundation targets the Carthage and Kansas City metropolitan area. Interests include education, parks and libraries. Assists higher education, history and program for special needs children.

### **Improving Literacy through School Libraries**

This program helps Local Education Agencies (LEAs) improve reading achievement by providing students with increased access to up-to-date school library materials; well-equipped, technologically advanced school library media centers; and professionally certified school library media specialists.

### **Jean, Jack and Mildred Lemons Charitable Trust**

Focus is on the Joplin area. The Trust supports activities for "medical and educational purposes." Proposals are solicited in February.

### **Jenny Jones Community Grant Program**

Jenny's Heroes provides grants of up to \$25,000 each to fund projects that promise long-term community benefits. Through the fifty grant recipients so far, funds have been used to provide items and services such as library books, school computers, and coats for children in domestic violence shelters. The program's focus is primarily on smaller communities where fundraising can be difficult.

### **Kresge Foundation: Capital Challenge Grant Program**

The mission of the Kresge Foundation is to strengthen nonprofit organizations throughout the United States that advance the well-being of humanity. The Foundation's six major areas of interest are health, environment, arts and culture, education, human services, and community development. Through the Capital Challenge Grant Program, the Foundation supports organizations' immediate capital needs, such as building construction or renovation, the purchase of real estate, and the purchase of major equipment. Grants are awarded on a challenge basis, usually one-third to one-fifth of the amount an organization has to raise to complete its campaign goal. Open to public and academic libraries and other institutions.

### **Laura Bush Foundation for America's Libraries**

Grants from the Laura Bush Foundation are made to school libraries across the United States to purchase books.

### **The Lawrence Foundation**

The Lawrence Foundation focuses support on the areas of education, the environment and health. The grant application provides the opportunity for you to introduce your organization, tell what problems you face, and how the Foundation can help. They use the Common Grant Application website to receive and manage their grant applications.

### **The La-Z-Boy Foundation**

The Foundation supports academic and research libraries and organizations involved with arts and culture, health, and human services providing funds for general operating support and building or renovation projects. Gives primarily in areas of company operations which includes Neosho, Missouri.

### **Libri Foundation**

The Libri Foundation donates new, quality, hardcover children's books to small, rural public libraries in the United States through its [Books for Children](#) program. A local match is required. Applications are accepted twice a year.

### **Lois Lenski Covey Foundation**

The Lois Lenski Covey Foundation, Inc. awards grants to rural and urban, public and school libraries serving at-risk children. Grants range from \$500 to \$3,000. More details regarding the grant program can be found on the [Grant Program Information](#) web page.

### **Lowe's Charitable and Educational Foundation**

The Lowe's Charitable and Educational Foundation is dedicated to improving the communities the company serves through support of public education, community improvement projects, and home safety initiatives. Support is provided to grassroots projects located in communities where Lowe's operates stores and distribution centers. Priority is given to projects that can utilize Lowe's volunteers. Grants generally range from \$5,000 to \$25,000. Requests may be submitted throughout the year. Visit the website listed above to take the eligibility test and submit an online application.

### **Mattel Children's Foundation: Domestic Grantmaking Program**

The Mattel Children's Foundation's mission is to better the lives of children in need. Grants are available to local organizations that use creative methods to address the needs of children from birth to 12 years of age. Funded programs must address one of the following issues: the health and well-being of children, with emphasis on promoting healthy, active lifestyles; increased access to education for underserved children, in particular, innovative strategies to promote literacy; and the self-esteem of girls up to age 12.

### **Mead Witter Foundation, Inc.**

Giving primarily for higher education and for local community causes, and youth and social service agencies in communities where Mead Witter Inc. conducts operations; higher education grants generally limited to those in WI; support also for the fine and performing arts and other cultural programs.

### **Michael and Susan Dell Foundation**

The Foundation funds projects that directly serve or impact children living in urban poverty, particularly in the areas of education, childhood health and family economic stability (including microfinance.)

### **Missouri Humanities Council**

The Missouri Humanities Council awards grants to support locally-generated programs and projects that are based in the humanities (subjects such as history, archaeology, anthropology, literature, religion, law, philosophy and languages). Applications for mini-grants (\$2,500 or less) are due on the first work day of the month. There are also quarterly major grant opportunities (over \$2,500) with applications due March 1, June 1, September 1, and December 1.

### **National Endowment for the Arts – Big Read**

This grant is to help libraries hold a Big Read program. Through The Big Read, selected communities come together to read, discuss, and celebrate one of 31 selections from U.S. and world literature. In addition, The Big Read provides comprehensive information about the [authors and their works](#), available free to the public. Each community's Big Read needs to include a kick-off event to launch the program; activities devoted specifically to its Big Read selection (e.g., panel discussions, lectures, public readings); events using the book as a point of departure (e.g., film screenings, theatrical readings, exhibits); and book discussions in diverse locations aimed at a wide range of audiences.

### **National Endowment for the Humanities (NEH)**

Libraries can apply for grants for a variety of projects that focus on the humanities. Examples of grant program opportunities available include: Challenge Grants intended to help institutions and organizations secure long-term improvements in and support for their humanities programs and resources; Bridging Cultures Bookshelf which provides free books designed to promote understanding of and mutual respect for people with diverse histories, cultures, and perspectives within the United States and abroad; and America's Historical and Cultural Organizations Planning and Implementation grants to support exhibitions, book/film discussion, living history presentations, interpretive websites, and more. Applications and due dates vary by type.

### **National Education Association (NEA) Foundation**

Through the Books across America Library Books Award program, the NEA Foundation makes \$1,000 awards to public schools serving economically disadvantaged students to purchase books for school libraries.

### **Office of Elementary and Secondary Education: Improving Literacy through School Libraries Competition**

This program hopes to improve student reading skills and academic achievement by providing students with access to up-to-date school library materials, advanced school library media centers, and professionally certified school library media specialists.

### **ProLiteracy**

The Charles Evans Book Fund is a special program of ProLiteracy's National Book Fund® which supplies local programs with adult literacy and basic education curricula and materials. The Fund is dedicated to improving the lives of people who are homeless. The grants, awarded in the form of vouchers for teaching materials and products from ProLiteracy's publishing division range, from \$3,000 to \$8,000.

### **RGK Foundation Grant Program**

RGK Foundation awards grants in the broad areas of Education, Community, and Medicine/Health. The Foundation's primary interests within Education include formal K-12 education (particularly mathematics, science and reading), literacy, and higher education. Human service programs for potential funding include children and family services, early childhood development, and parenting education. Within Health/Medicine programs are to involve promoting the health and well-being of children and families. Youth development programs typically include after-school educational enrichment programs that supplement and enhance formal education systems to increase the chances for successful outcomes in school and life.

### **Stinson, Mag and Fizzell Foundation**

Grants go to a law school, public higher education, recreation for boys, an art museum, and an association for persons with head injuries.

**Sverdrup and Parcel Charitable Trust**

Interests include public and private higher education in the St. Louis area. Send written proposal including description of the activity, purpose of request, current financial statement, and IRS exempt letter.

**U.S. Cellular Connecting with Our Communities**

U.S. Cellular's corporate giving program accepts applications from nonprofit organizations in company communities. Programs are to serve economically disadvantaged youth, families and seniors – connecting people with opportunities for a better life. Eligible cities in Missouri include Columbia and St. Louis.

**Verizon Foundation**

The mission of the Verizon Foundation is to improve lives through literacy, knowledge, and a readiness for the 21st Century. The Foundation's funding priorities include: supporting literacy and K-12 education for children and adults, preventing domestic violence and helping victims gain independence, improving healthcare through technology, and educating parents and children about Internet safety. Grants generally range from \$5,000 to \$10,000. Online applications may be submitted from January 1 through November 1, annually. Visit the website listed above to learn more about the Foundation's grant guidelines and application process.

**W. K. Kellogg Foundation**

The Foundation offers grants to projects that address the following mission statement: "To ensure that all children get the development and education they need as a foundation for independence and success, we seek opportunities to invest in early child development (ages zero to eight), leading to reading proficiency by third grade, high school graduation, and pathways to meaningful employment." Strategies and programs include whole child development, family literacy and educational advocacy.

**WHO Foundation**

The WHO Foundation: Women Helping Others supports grassroots nonprofit organizations serving the overlooked needs of women and children in the United States and Puerto Rico. The Foundation's Education/Literacy Grant Program provides support for free after-school programs and other education or literacy programs for low-income children of all ages.

**William T. Kemper Foundation**

Preference is given to projects in the Midwest, with particular emphasis on Missouri. Support is primarily for arts, civic improvements, education, health care, and human services.

**Wish You Well Foundation**

Projects should support the Foundation's mission statement: "Supporting family literacy in the United States by fostering and promoting the development and expansion of new and existing literacy and educational programs" Awards generally range from \$200-\$10,000.

## **Websites That List Multiple Foundations**

### **[Grant Station](#)**

A membership service that provides access to funding sources for grantseekers based on their particular projects or programs and also mentors them through the grant seeking process. A quarterly membership is \$189; an annual membership is \$599.

### **[National Library of Medicine Grant Resources](#)**

This resource contains links to both community grants and health science grants. It also includes links to web sites that provide grant writing tutorials and tips and grant notification services.

### **[WebJunction](#)**

This web site developed by the Gates Foundation and other non-profit organizations includes a section on budgets and funding and includes [software donation programs](#) offered by major computer vendors.

### **[Library Grants](#)**

This is a blog authored by Stephanie Gerding and Pam MacKellar for librarians interested in a wide variety of grant opportunities.